

Desk Instruction WTP-OA-DI-01

Conduct of Design Oversight

May 2008

Revision 0

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WTP-OA-DI-01

Conduct of Design Oversight

1.0 PURPOSE

This desk instruction (DI) provides guidance for planning, performing, and documenting U.S. Department of Energy (DOE), Office of River Protection (ORP) Waste Treatment and Immobilization Plant (WTP) Engineering Division (WED) oversight of the WTP design process and engineering programs. This oversight guidance should be utilized to document design oversight assessments, surveillances, and design reviews for design processes and products prepared by Bechtel National Inc. (BNI).

This DI implements the oversight commitments established by DOE O 226.1, *Implementation of Department of Energy Oversight Policy*, and ORP M 220.1, *Integrated Assessment Program*, for the purpose of performing design program assessments.

2.0 CANCELLATION

This document cancels DI 5.2, Rev. 0, dated February 22, 2008.

3.0 APPLICABILITY

This DI is applicable to ORP WED personnel and support contractor personnel conducting design program oversight of the BNI contract for design, construction, and commissioning of the WTP.

4.0 DEFINITIONS

4.1 Acronyms

AAP	Annual Assessment Plan
AFI	Assessment Follow-up Item
AITs	Actions/Issues Tracking System
AM	Assistant Manager
AMWTP	Assistant Manager for Waste Treatment and Immobilization Plant
APC	Assessment Program Committee
BNI	Bechtel National, Inc. (also referred to as the WTP Contractor)
CARS	Consolidated Action Reporting System
DI	desk instruction
DNFSB	Defense Nuclear Facilities Safety Board
DOE	U.S. Department of Energy
DR	design review
FY	fiscal year
IDMS	Information Data Management System
ORP	Office of River Protection

POC	point of contact
SSC	structure, system, and component
WED	WTP Engineering Division
WTP	Waste Treatment and Immobilization Plant

4.2 Definition of Terms

Annual Assessment Plan (AAP). A plan scheduling the assessment coverage (program and facility specific) for an Assistant Manager (AM) organization for a calendar year. These are referred to as Program Plans in DOE P 226.1, *Department of Energy Oversight Policy*.

Assessment Follow-up Item (AFI). A matter requiring further review because of a potential Finding or problem, because specific contractor or ORP action is pending, or because additional information was not available at the time of the assessment.

Assessment Plan. A plan developed to describe the specific objectives, methods, membership, schedule, scope, pertinent documents, and other information needed to define the bounds of a specific assessment, such as a Design Review Plan or Assessment Plan.

Assessment Program Committee (APC). A committee consisting of representatives from the ORP line organizations, the Environmental Safety and Quality organization, and the ORP Manager's office. The committee reviews and approves the ORP Annual Integrated Assessment Plan and ensures that assessment results are shared with other ORP organizations, as appropriate. The committee also functions to identify common areas of weaknesses within the ORP organization based on assessment results and recommends changes needed to address problem areas.

Assessment. A systematic evaluation of contractor or ORP performance based on awareness of work activities, data analysis, and comparison to the results of the Contractor's self-assessment; as well as reviewing, evaluating, inspecting, testing, checking, conducting surveillance, auditing, or otherwise determining and documenting whether items, processes, systems, or services meet specified requirements and are performed effectively.

Concern. A determination of a programmatic breakdown or widespread problem supported by one or more Findings. A concern, if left unresolved, has the potential to introduce serious risks to the schedule and cost of the project or involves safety and quality issues, which must be mitigated to ensure the continued adequacy of the quality assurance program and maintain personnel safety. Concerns require individual transmittal letters from the ORP Manager to the head of the Contract or organization, and are resolved by Contractor Corrective Action Plans signed by the head of the Contract or organization.

Contract. Contract No. DE-AC27-01RV14136, between DOE and BNI, for the Design, Construction, and Commissioning of the Hanford Tank Waste Treatment and Immobilization Plant (WTP).

Design Oversight. A focused assessment or other type of oversight such as surveillance or design review performed by ORP of the BNI design programs and processes used to ensure the WTP design meets contract functional, design, and operability requirements.

Design Oversight Review Board. An informal process used at the discretion of the WED Division Director to review the results of an assessment prior to concurrence and transmittal to the Contractor.

Design Review (DR). A focused review of the design of any system, structure, or component (SSC) to specific design criteria, conducted by qualified personnel, resulting in the verification of the adequacy of the design with respect to safety, functionality, contract requirements, and/or other specific goals the design is required to achieve.

Entrance and Exit Meeting. Formal meetings involving the ORP assessment team, ORP management, and Contractor management and cognizant staff for introducing the beginning of the assessment (entrance) and summarizing the assessment results (exit). The Defense Nuclear Facilities Safety Board (DNFSB) site representative should be invited to these meetings.

Finding. An individual item not meeting a committed requirement (e.g., contract, regulation, safety basis, authorization basis document, or procedure). Findings are typically cited in assessment reports and require written contractor responses.

Non-cited Finding. A finding that is not willful, programmatic, or a repeat of a previous finding, has minor safety or cost impact, and is being tracked by the Contractors' corrective action program may be classified as a non-cited finding and would not require a written response from the Contractor. A non-cited finding would still be discussed in the assessment report and assigned a Consolidated Action Reporting System (CARS) item number for trending and tracking of corrective actions. Closure of the non-cited finding would also require documented justification.

Observation. The identification of either a good practice or notation of a condition or practice that warrants the Contractor's attention but is not directly linked to compliance with a requirement.

Point of Contact (POC). WTP Contactor staff member officially appointed to organize and facilitate ORP oversight of the WTP including receipt and distribution of the assessment plan, obtain and forward requested documentation, schedule interviews, schedule entrance and exit meetings, and receive issues identified by the oversight process..

Requirement. A legally binding obligation such as a statute, regulation, contractual commitment, or contract-required order.

Surveillance. A highly focused review or observation of a narrowly defined area, such as a field observation to verify existent or closure of an issue or issues, including procedure compliance.

Team Lead. The qualified lead responsible for conducting the design oversight by (1) providing an oversight plan, (2) assembling, qualifying, and managing the assessment team; and (3) preparing a final report based on input from team members.

Team Member. A qualified participant in a design program assessment for oversight of design processes who reports to the Team Lead for purposes of assessment conduct and report input.

5.0 RESPONSIBILITIES

5.1 Assistant Manager of Waste Treatment Project (AMWTP)

- 5.1.1 Monitors compliance to ORP M 220.1 via independent management assessment of WTP oversight programs via annual self-assessment of WTP oversight program (DOE O 226.1 requirement).
- 5.1.2 Identifies and requests the funding to support the WTP annual assessment program.
- 5.1.3 Approves WTP input to the ORP Annual Assessment Plan (AAP).
- 5.1.4 Ensures assessment reports and associated needed corrective actions requests are issued to the Contractor in the form of transmitted oversight reports and formal correspondence.
- 5.1.5 Attends Assessment Program Committee (APC) quarterly meetings and provides an annual report of results of the WTP assessment program.
- 5.1.6 Provides representative to the Design Oversight Review Board when convened

5.2 Director, Waste Treatment Project Engineering Division (WED)

- 5.2.1 Responsible for implementing the Design Oversight Program in compliance with the WTP-OA-DI-01 and revises WTP-OA-DI-01 as needed to comply with ORP M 220.1.
- 5.2.2 Transmits approved plans to the Contractor.
- 5.2.3 Provides the WED annual input for the AAP to AMWTP and approves changes to the APC for the WED.
- 5.2.4 Approves scope, approach, and criteria for scheduled design oversight through concurrence of the design oversight plan.
- 5.2.5 Manages the funding of consultants as needed to complete design oversights.
- 5.2.6 Qualifies by signature the Design Oversight Team Leads and ensures Design Oversight Team members are properly qualified (Attachment 9.1).
- 5.2.7 Convenes the Design Oversight Review Board, when authors provide draft report for concurrence.
- 5.2.8 Chairs the Design Oversight Review Board on assessment results and concurs with design oversight reports when comments have been properly incorporated.
- 5.2.9 Approve closure of issues of an assessment, using memo to file or other documented means.

5.3 Design Oversight Team Lead

Design Oversight Team Leads are designated by the WED Director based on the scope and complexity of the review. When appointed, the Design Oversight Team Lead has the following functions:

- 5.3.1 Qualify as Team Lead in accordance with this DI and document on Attachment 9.1. A qualified Team Lead can plan and lead an assessment, design review, or surveillance.
- 5.3.2 In coordination with the WED Director, budget, schedule, and qualify team members to ensure the assigned team collectively has the experience, technical expertise, and training to effectively accomplish the scope of the oversight.
- 5.3.3 Prepare and obtain approval of the plan at least two weeks prior to the scheduled entrance of the assessment. Provide a copy of the approved plan to the BNI point of contact (POC) at least two weeks prior to the scheduled entrance meeting. A design oversight plan is required for an assessment or design review, but not for a surveillance.
- 5.3.4 Conduct the entrance meeting and introduce the scope, team members, and schedule.
- 5.3.5 Complete the assessment and debrief the Contractor on the tentative results.
- 5.3.6 Provide the draft report to the Division Director for presentation to the Design Oversight Review Board if requested
- 5.3.7 Ensure the final oversight report is prepared and submitted for concurrence and is transmitted to the Contractor
- 5.3.8 Ensure the design oversight report and associated records supporting the assessment are properly entered into the ORP Integrated Data Management System (IDMS).
- 5.3.9 Ensure Findings, Assessment Follow-up Items, and Observations are entered into CARS, and tracked to resolution.
- 5.3.10 Upon receipt of Contractor response, formally accept or reject the response in writing.
- 5.3.11 Upon completion of corrective actions by the Contractor, verify closure of all issues and document closure via memo to file signed by the Division Director.

5.4 Design Oversight Team Members

- 5.4.1 Qualify as an assessment team member per this DI, and document on Attachment 9.1.
- 5.4.2 Attend entrance and exit meetings as well as daily team debriefings.
- 5.4.3 Inform the Design Oversight Team Lead and the BNI POC of documents and interviews needed to complete assessment.
- 5.4.4 Identify issues to Design Oversight Team Lead and recommend characterization of issue based on evidence available.
- 5.4.5 Assist as required in the preparation of the draft report prior to exit debrief with recommendations for the characterization of issues.

- 5.4.6 Assist Design Oversight Team Lead in preparation of closure memo to file on issues raised by team member.
- 5.4.7 Review final report and provide comments to Design Oversight Team Lead.

5.5 Design Oversight Review Board

- 5.5.1 Upon the completion of a draft report for the Division Director's concurrence, the Division Director can convene the Design Oversight Review Board to review the results.
- 5.5.2 The Division Director appoints members to support the review concurrence chain as well as independent qualified team leads who assist in characterization of issues as either Findings, Assessment Follow-up Items, or other categories based on the evidence provided by the report author.
- 5.5.3 All concurrence parties to the report should have received a copy of the report for concurrence and should either attend the meeting or send a representative to speak for their review of the results.
- 5.5.4 The Division Director should confirm the process of this DI has been followed and the objectives of the assessment have been accomplished
- 5.5.5 The Design Oversight Team Lead as report author should provide a briefing of the results of the objectives including any issues found during the assessment. The board should receive Design Oversight Team Lead's recommended characterization of the issues or provide recommendations for changes.

6.0 PROCEDURE

6.1 Background

A major component of the DOE ORP mission is the design and construction of the WTP Project. As part of its oversight responsibilities, ORP performs various oversights of BNI activities during the design and construction phase. The three types of design oversight provided by this procedure are assessments, design reviews, and surveillances.

This design oversight provides compliance to DOE O 226.1, Section 4.0, and supports the scheduled assessments via the ORP Integrated Assessment Program (ORP M 220.1). The current fiscal year (FY) assessment schedule provides for these assessments.

6.2 Design Oversight Process

The ORP WTP design oversight process includes conduct of ad hoc surveillances, planned design reviews and design assessments to review specific contractor design products or processes as defined in Deliverable 3.1 "Design Processes" in Section C Standard 3(c) of the contract. These activities are performed principally by members of the ORP WED with assistance as required by contract support. Ad hoc surveillances are conducted by qualified team members for short-term field observations, closure of design oversight issues, review of Contractor

documents, and other ad hoc needs of design oversight. This form of oversight is not required to be placed on the ORP Integrated Assessment Plan.

6.2.1 Planning

6.2.1.1 Annual Input to ORP Annual Assessment Plan

A requirement of ORP M 220.1 is for all the organization to annually submit input to the APC, which will be used to formulate the ORP AAP. For the WED, the Division Director collects staff input, organizes, and schedules input to support the office goals, and submits the division input to the AMWTP who will submit for approval those topics and the recommended scheduling for the WTP AAP. This input will be revised on a quarterly basis as necessary to maintain the program current. Determination of design oversight topics and schedules will be based on current, relevant project information. Design assessment and design reviews will be scheduled; however, surveillances are conducted on an ad hoc basis.

6.2.1.2 Selection and Qualification of Design Oversight Team Leads and Members

The WED Director qualifies the Design Oversight Team Leads. In turn, the Team Leads provide recommendations for the staffing of the Design Oversight Team. Team members should be selected based on the scope and complexity of the assessment, availability, and expertise of WED qualified personnel, and availability and qualifications of external subject matter experts (contactors and representatives from other DOE facilities). Design Oversight Team members and Design Oversight Team Leads shall qualify to Attachment 9.1. The WED Director is the final authority in determining the adequacy of a WED Team Lead or team member for any design oversight.

6.2.1.3 Development of Design Assessment Plan or Design Review Plan

The Design Oversight Team Lead, with input from team member(s), prepares a design oversight plan consistent with the goals, objectives, scope, and time frame of the planned design oversight. Attachment 9.2 is a template to assist in developing this plan. The plan:

- a. Identifies the subject, purpose and objectives of the design oversight and summarizes the contract and any other requirements that apply to that subject;
- b. Identifies the design oversight membership;
- c. Establishes the design oversight schedule; and
- d. Summarizes initial information to be obtained from BNI prior to initiation of the oversight.

The Team Lead will obtain approval from the WED Director by signature on the design oversight plan, at least two weeks before initiating the oversight and formally transmitting the plan to the Contractor. If during the course of the oversight, the scope, objectives, membership, or other pertinent changes are required to the plan, verbal permission to deviate from the plan is required from the WED Director. The design oversight report should clearly describe and justify any deviations from the design oversight plan.

6.2.2 Notifications (Original or Revised) and Entrance Meeting

The design oversight plan should be transmitted to the Contractor by the AMWTP and delivered to the BNI POC to obtain information for the review. The Team Lead should schedule an entrance meeting in coordination with the BNI POC, to be attended by the Design Oversight Team, the BNI POC, and other cognizant ORP and BNI personnel, including the DNFSB review staff. During the entrance meeting, the Team Lead should discuss the plan and schedule of the oversight, identify cognizant personnel to support the oversight, and set protocol for the ORP-BNI interface during the oversight. A list of the documentation requested by the team should be available (Table 1 of Assessment Plan [Attachment 9.2]) at the entrance meeting if the documentation has not already been received from the BNI POC prior to the meeting. The entrance meeting attendance should be documented.

At the entrance meeting, appropriate BNI personnel may be requested to summarize the status of the area under review, including significant corrective action reports, Actions/Issues Tracking System (AITS) open items BNI has identified, or any other assessments recently performed. This identification will assist the Design Oversight Team's effort and may establish credit for Contractor self-identification of issues.

6.2.3 Conduct of Design Oversight

The Design Oversight Team will review applicable documentation, conduct interviews, attend meetings relevant to the oversight, and document information necessary to meet the objectives of the design oversight plan. Interviews with BNI personnel should be scheduled via the BNI POC and conducted in a professional and courteous fashion. Any conflicts will be immediately communicated to the Design Oversight Team Lead and the BNI POC. Lines of inquiry for use during interviews to accomplish objectives are recommended.

Any technical issues identified by the Design Oversight Team should be brought to the attention of the Design Oversight Team Lead and BNI POC in a timely fashion and discussed with BNI management during periodic debriefings held daily or as needed. An exit debriefing should be conducted with the same level of management present as the entrance meeting. If significant Findings are identified, they should be exited again at the periodic senior management exit meeting. The issue should be documented in the oversight notes and the final report, and entered into CARS when the report is approved. ORP will monitor resolution of each of these issues (e.g., Findings, Non-cited Findings, etc.) through CARS. See Attachment 9.5 for guidance regarding characterization of identified issues.

6.2.4 Reporting

6.2.4.1 Draft Design Oversight Report

The team members will prepare and submit input per the format of Attachment 9.3, Section 4.0, to the Design Oversight Team Lead per the schedule in the design oversight plan. The Team Lead will draft the design oversight report based on these inputs. A report outline is provided in Attachment 9.3. For surveillance reporting, the surveillance is documented on a surveillance form (Attachment 9.7).

6.2.4.2 Review of Draft Report

The Design Oversight Team Lead will finalize the draft design oversight report following the completion of the Design Oversight Review Board meeting (Section 5.5) and ensure any required revisions to the draft are made to incorporate comments from Design Oversight Team members. The BNI POC should be provided a copy of the final draft report for factual accuracy review and comment prior to ORP concurrence routing.

The Design Oversight Team Lead and team members, as necessary, will finalize the design oversight report incorporating any changes deemed necessary from the BNI factual accuracy review. The Team Lead will prepare a transmittal letter from the AMWTP to BNI and will enter the letter and design oversight report into concurrence routing.

6.2.4.3 Report Transmittal

The final report will be transmitted by letter to BNI from the AMWTP. The final report will be entered into the ORP IDMS as a permanent record of the design oversight. ORP M 220.1, Attachment 9.5, provides guidance on how to compose the transmittal letter.

6.2.5 Closure

Following the transmittal of the report to BNI, the Design Oversight Team Lead will ensure all issues are entered into CARS for tracking and closure. Upon response from BNI, the Team Lead, with input from team members as appropriate, will determine the adequacy of the response and formally transmit correspondence indicating acceptance or rejection of the response. If accepted, the committed date for BNI closure will be updated into CARS and tracked to closure. Once notified the item has been corrected, the Team Lead or team member will verify the adequacy of the corrective action and close the item by a memo to file signed by the WED Director and then closed in CARS. The Team Lead will ensure the correspondence for closure is entered into IDMS and linked to the final report.

7.0 REFERENCES

- DOE O 226.1, *Implementation of Department of Energy Oversight Policy*
- DOE P 226.1 Rev 1, *Department of Energy Oversight Policy*
- ORP M 220.1, *Integrated Assessment Program, Rev. 5*
- ORP M 412.1, *Consolidated Action Reporting System (CARS)*
- Contract No. DE-AC27-01RV14136, *Design and Construction of the Hanford Tank Waste Treatment and Immobilization Plant*

8.0 RECORDS

- Qualification Records
- Design Oversight Report including Design Oversight Plan
- Closure documentation

9.0 ATTACHMENTS

- 9.1 Design Oversight Qualification Record
- 9.2 Template for Preparation of the Design Oversight Plan
- 9.3 Design Oversight Report Outline
- 9.4 Design Oversight Numbering System
- 9.5 Characterization of Identified Findings
- 9.6 WED Oversight Assessment Checklist
- 9.7 Surveillance Form

Attachment 9.1
Design Oversight Qualification Record

Requirement: ORP M 220.1, *Integrated Assessment Program*, Section 6.2 states: “Division Directors responsible for the assessment ensure personnel performing assessments possess suitable qualifications commensurate with the nature and type of assessment to be conducted.” This form provides the qualification requirements for WED staff and contract personnel assigned to Design Oversight Teams. Signature on this form by the WED Division Director constitutes the record of qualification and should be included with the final report when entered in the ORP IDMS for record retention purposes.

Name _____

I. Team Member

General Training and Indoctrination (documentation of completion for item 3 and 4 to be attached to this form with required reading completed by initialing and dating this form)

- | | |
|--|-------|
| 1. ORP M 220.1 Integrated Assessment Program | _____ |
| 2. WTP-OA-DI-01, Conduct of Design Oversight | _____ |
| 3. Hanford General Employee Training (HGET) | _____ |
| 4. BNI Construction Orientation (ORP only) | _____ |
| 5. DOE Order 226.1 DOE Oversight Policy | _____ |
| 6. Contract DE-AC27-01RV14136 Section C | _____ |

WED Division Director/date

II. Team Lead (Requirements in addition to team member):

1. Completed required reading in Section I above
2. Interview with WED Division Director for Qualification

WED Division Director/date

Attachment 9.2
Template for Preparation of the Design Oversight Plan

U.S. Department of Energy, Office of River Protection

DESIGN OVERSIGHT PLAN

{TITLE OF OVERSIGHT}

{Date}

Design Oversight: {Oversight Number}

Team Lead: _____

Team Members(s): _____

Submitted by

Team Lead: _____ Date _____

Concurrence

**WTP Engineering
Division Director:** _____ Date _____

Approved

**Assistant Manager
Waste Treatment
Plant:** _____ Date _____

Attachment 9.2 (cont.)

1.0 BACKGROUND, PURPOSE, AND OBJECTIVES

1.1 Background

The text of the background is to provide the status of the facility and the circumstances as to why the assessment is being performed. An example of this is:

The Waste Engineering Division (WED) has responsibility for the design oversight at the Waste Treatment Project (WTP). BNI recently made a presentation to the Defense Nuclear Facilities Safety Board (DNSFB) titled “WTP Path Forward Design and Procurement Plans for the Next 24 Months,” which included design and construction completion milestones during this period. The process of completion of design and construction for system turnover is an important program supporting the transition to commissioning and testing of the WTP. This assessment will review the BNI program for defining the processes of completing the design and construction phases sufficient for system turnover, review the configuration management of the design during construction, and assess the effectiveness of training to support design/construction completion for turnover to the Commissioning and Test (C&T) organization.

1.2 Purpose

Insert specific purpose; for example:

The purpose of this review is to:

- a. Implement the Integrated Assessment Program defined in ORP M 220.1 Section 6.2.4.c. by monitoring the BNI design processes, which influence BNI design products and conduct design reviews, and ensure related provisions of the contract are being satisfied.
- b. Verify the design processes, products, and documentation approved for selected attributes of the (system or area) are consistent with the design requirements and criteria specified in the contract.

1.3 Objectives

Insert specific objectives; for example:

1. Evaluate the metrics for the issues being evaluated for their ability to adequately measure change in culture.
2. Evaluate the results of trending of metrics to determine whether a significant weakness exists.
3. Compare the issues being identified by the metric process against issues being identified in ORP assessments to assess process effectiveness.
4. Evaluate if the corrective actions being identified have or will effectively resolve the issues identified by the metric process.

Attachment 9.2 (cont.)

2.0 SCOPE

[BOILERPLATE]This oversight shall be conducted within the guidelines of ORP M 220.1, *Integrated Assessment Plan*, Rev. X, and the WTP-OA-DI-01, “Conduct of Design Oversight,” Rev. Y, issued ZZZ.

As a general statement, the scope indicates the limits of the products or processes to be reviewed.

3.0 PREPARATION

1. Identify the ORP assessment team.
2. Notify BNI that ORP will be conducting the [provide name and number of assessment plan]; e.g., LAW Container Export Handling System Assessment, D-08-DESIGN-059.
3. Identify relevant and appropriate design documents, including procedures, associated implementation paperwork, regulatory requirements, and any vendor requirements.
4. Identify contract requirements and contractor design requirements.
5. Prepare and implement schedule of assessment activities.

Identify_ORP assessment team; for example:

The Assessment Team will be comprised of two ORP WTP Engineering Division (WED) staff members:

- K. Thomas
- R. Griffith

Table 1 is boilerplate for each assessment plan and summarizes the steps to take with the Contractor.

Table 1 – Requested Documentation and Information

1.	Point of contact for the assessment
2.	Latest revision of specific system description
3.	Latest revision of any applicable process and instrumentation drawings (P&ID), drawings, and specifications
4.	Latest revision of any additional related documentation (calculations, correspondence, etc.)

4.0 REPORTING

[BOILERPLATE]The Assessment Team Lead will periodically brief ORP management and provide the Contractor POC the opportunity for a daily briefing as necessary during the assessment. The Team Lead, with assistance from the team, will prepare a final assessment report that summarizes review activities, results, conclusions, and recommendations.

Attachment 9.2 (cont.)

5.0 SCHEDULE OF ACTIVITIES

[*BOILERPLATE*]Table 2 lists the schedule of assessment activities.

6.0 DOCUMENTATION [The final report will contain the sections and content in accordance with Attachments 9.3 and 9.4.]

[*BOILERPLATE*]The final assessment report shall contain the sections and content as summarized in WTP-OA-DI-01, “Conduct of Design Oversight.” The final report will be formally issued once draft review comments have been resolved. Any Findings, Assessment Follow-up Items, or Open Issues identified in the report will be assigned a number, and tracked to resolution through the Corrective Action Reporting System (CARS) by DOE ORP. These assigned numbers shall also be tracked to resolution by the Contractor through the Correspondence Control Number (CCN) that will be assigned to the transmittal of the report from ORP to the Contractor.

7.0 CLOSURE

[*BOILERPLATE*]The Assessment Team Leader, with concurrence of the WED Director, shall confirm that Findings, Assessment Follow-up Items, and/or Open Items from this review are adequately resolved.

Attachment 9.2 (cont.)

The following is an example of a schedule for completion of this review.

Table 2 – Schedule

Activity Description	Responsibility	Complete By
Develop Design Oversight Plan.	Adams	01/12/07
Identify Team members.	Adams/Woods/Cooper	01/12/07
Obtain approved plan.	Eschenberg/Miller	01/19/07
Obtain initial information defined in Table 1 above to support review and provide to team members	Adams	01/22/07
Qualify Team members-Attachment 9.1	Adams/Miller	01/22/07
Entrance Meeting with Contractor and team to outline objectives, scope, schedule, and establish points of contact.	Team	01/22/07
Review documents from ORP and provide oversight strategy, lines of inquiry, and interview requests to Team Lead.	Team	01/22/07
Perform metric analysis	Cooper-Review metric program for feasibility Woods-Review implementation of metrics for effectiveness	01/22/07-02/02/07
Prepare Draft Design Oversight Report Notes.	Cooper Woods	02/02/07 03/09/07
ORP Exit Briefing.	Team and WED Management	02/02/07
Draft Report.	Adams	02/16/07
Resolve comments and place Final Report into concurrence including factual accuracy review with Contractor.	Adams	02/28/06
Issue Final Report	Adams	03/09/07

Attachment 9.3
Design Oversight Report Outline

[**Cover Page** – The cover page includes the dates of the design oversight, the report number, the names and signatures of the team members, the name and signature of the ORP Team Lead, concurrence by the WED Director, and approval of the AMWTP.]

U.S. Department of Energy, Office of River Protection

{Title of Oversight}
ORP Design Oversight Report

{Date}

Design Oversight: Report Number

Team Lead: Signs the report _____
 {Name, Title}
 Division

Team Members: List Names of Team Members; no signatures required
 {Name, Title, Division}

Team members should be listed; however, only Team Lead signature required for approval. Division Director and approval should be depicted by their signature(s)/concurrence on the transmittal letter.

Attachment 9.3 (cont.)

Executive Summary – The executive summary should describe the design products and processes reviewed, meetings attended, interviews performed, evolutions witnessed, and present the significant strengths and weaknesses. The summary should provide a conclusion on the adequacy of the design products/processes reviewed, and identify significant open items (Findings, Non-cited Findings, Assessment Follow-Up Items, and Observations).
[Note: Reports with less than 10 pages can omit the Executive Summary.]

Report Outline

1.0 INTRODUCTION

This section summarizes the activity, schedule, purpose, scope, and methods of review.

2.0 BACKGROUND

Repeat the Background Section from the Design Oversight Plan.

3.0 OBJECTIVES, SCOPE AND APPROACH

3.1 Objectives

This section lists the objectives from the Design Oversight Plan.

3.2 Scope

This section summarizes the areas, systems, components, etc., reviewed in the oversight. This is similar to the Scope section of the Design Oversight Plan but identifies any deviations between the actual scope reviewed and the scope from the plan.

3.3 Approach

In the same format as the Design Oversight Plan, summarize the actual work performed as part of this oversight; e.g., documents reviewed (refers to references and Appendix A), actual meetings held with BNI, BNI meetings attended, interviews performed, evolutions witnessed, and preparation of preliminary draft for BNI review and comment, etc.

4.0 RESULTS

This section contains the significant results of the review including detailed description of the bases and recommendations for resolution of open items identified in this review. Where applicable, significant open items, bases, and recommendations should be tied to contract or regulatory requirements. The open items should be sequentially numbered in this discussion in the order listed in Table 1.

Attachment 9.3 (cont.)

This section should be subdivided such that there is a subsection for each objective:

4.1 Objective 1

4.2 Objective 2

5.0 RECOMMENDATIONS

Summary of recommendations for action by BNI and ORP to ensure that open issues are resolved through tracking of applicable CARS items and plans for future oversight reviews.

6.0 REFERENCES

Principal references used in the oversight. Note that the majority of references will be contained in the reviewer summaries contained in Appendix A.

Appendix A: Reviewer summaries

Appendix B: Attach the assessment plan

Attachment 9.4 Numbering System for Assessment Reports

This attachment provides or references the ORP numbering systems for Findings, Concerns, and Assessment Follow-Up Items, etc. for the following:

1. Assessment Reports
2. Items for tracking within Assessment Reports
3. Trending and Root Cause Analysis

Assessment Report Numbering

Each report should have a unique report number as follows:

Report Number: V-WW-XXX-ZZZ

where

V = Single letter; for WTP, the letter is D for Design Oversight,

WW = Two-digit code for fiscal year (2006 would be 06),

XXXX = Three-, four-, or five-letter code depicting the ORP division or AM organization acronym conducting the assessment (e.g., DESIGN for WTP Engineering Division),

ZZZ = Sequential numbers for each review are assigned by WED. These numbers are assigned by the WTP administrative assistant and are sequential for the entire program. Numbers **do not** start over each year. For example, the twentieth inspection report for the WED Design Oversight program (which may be the sixth report during FY 2006) would be numbered as D-06-DESIGN-020; the fortieth inspection report (which may be the first report during FY 2007) would be numbered as D-07-DESIGN-040.

Concern, Finding, Observation, and Assessment Follow-up Item (AFI) Numbering

Each Concern, Finding, Observation, Open Item, and AFI is uniquely identified by adding three digits to the report numbers as follows:

Issue Number: V-WW-XXXX-ZZZ-INN

where

I = Single letter indicating the type of issue, where C is for Concern, F is for Finding, O is for Observation, and A is for AFI.

NN = Two-digit sequential numbering of the issues contained in the report starting with 01. For example, the first issue in the twentieth WED report performed during FY 2006, which happened to be a Finding, would be numbered as follows: D-06-DESIGN-020-F01.

Attachment 9.5

Characterization of Identified Findings

A Finding is an individual item not meeting a committed requirement (e.g., contract, regulation, safety basis, authorization basis document, and Standards/Requirements Identification Documents). ORP has a number of tools available to effect change in Contractor performance to address a Findings. For example:

1. For an issue of significant concern, ORP may proceed directly to a letter to the Contractor informing them of ORP's concern and requesting they take timely and comprehensive actions to address the identified concern. This action does not preclude issuing a Finding at the end of the assessment.
2. ORP may choose to cite the Finding in the assessment report once the assessment is completed and require the Contractor to provide a written response detailing the actions they plan to take to address the Finding.
3. At ORP management discretion, ORP might decide to issued a Non-cited Finding provided the conditions described below are met:
 - a. The Finding is not willful, programmatic, or a repeat of a previous finding;
 - b. The Finding has minor safety or cost impact; and
 - c. The Finding has been entered into the Contractor's corrective action program for corrective action and subsequent trending.

A Non-cited Finding would not require a written response from the Contractor. However, the Non-cited Finding would still be discussed in the assessment report and assigned a CARS item number for ORP trending and tracking of corrective actions. Closure of the Non-cited Finding would also require documented justification.

**Attachment 9.6
WED Oversight Assessment Checklist**

The following is a list of activities/deliverables that WED personnel should take or produce to ensure that management expectations for oversight assessments are met.

Number	Description	Checkoff
1	Obtain Division Director approval for schedule changes well in advance of the original schedule date (if applicable).	
2	Submit Assessment Plan for Project Manager approval at least 2 weeks prior to start of assessment.	
3	Transmit approved Assessment Plan via formal letter to Contractor at least 2 weeks prior to start of assessment.	
4	Conduct Entrance Meeting and Exit Meeting through coordination with Contractor Point of Contact-document attendance.	
5	Debrief ORP Division Director at end of assessment on issues to obtain characterization (Concern, Finding, AFI, etc.) and prior to debriefing Contractor and issuing initial draft report.	
6	Prepare draft report and obtain text edit support prior to submitting draft assessment report to Division Director for concurrence. This should be no later than 30 working days after Contractor debrief, with final report submitted no later than 45 working days after Contractor debrief.	
7	CARS assigned to follow-up items and issues documented in assessment report when report is approved.	
8	Transmit letter to Contractor and obtain a response if required.	
9	Construct "closure book" and populate it with applicable documents upon approval of report.	
10	Acceptable Contractor responses that contain actions with future completion dates loaded into CARS. Unacceptable Contractor responses to AFIs discussed in transmittal letter to Contractor.	
11	Prior to closing out CARS, obtain concurrence of Division Director for follow-up items where Contractor actions acceptably resolved them (closure can be documented in letter to Contractor, e-mail, internal ORP memo, or follow-up oversight assessment).	
12	Review "closure book" to ensure complete and submitted to IDMS for inclusion in ORP/WED document records.*	

* The "closure book" as a minimum should contain the ORP Assessment Plan with Transmittal Letter, the Assessment Report with Transmittal Letter, the Contractor Response to the report, the ORP Acceptance to the response, a CARS printout report with a memo to file showing all actions completed, and copies of team member qualification records (Attachment 9.1) unless previously placed in IDMS by another means. All closure records will be traceable to the assessment report transmittal letter number.

**Attachment 9.7
Surveillance Form**

Surveillance Form

Topic of Surveillance: _____

Procedure or Acceptance Criteria Governing Activity: _____

Observations:

Deficiencies Noted: (if any)

Facility Representative Notified required for safety issues: _____ **Date:**

Completed by: _____ **Date/Times of Surveillance:** _____