

WP 15-GM.05
Revision 0

ARRA Effectiveness Assessments Project Plan

Cognizant Department: General Manager's Office

Approved by: Doug Steffen



CHANGE HISTORY

REVISION	DATE	CHANGE DESCRIPTION
Rev. 0	11/11/2009	Initial Plan

TABLE OF CONTENTS

ACRONYMS AND ABBREVIATIONS i
1.0 PROJECT OVERVIEW 1
2.0 PROJECT ORGANIZATION 1
3.0 PROJECT ADMINISTRATION 1
4.0 PROJECT QUALITY 2
5.0 RECORDS 5
6.0 REFERENCES 5
Attachment 1 – Example Surveillance Assessment 6

ACRONYMS AND ABBREVIATIONS

ARRA	American Recovery and Reinvestment Act of 2009
CBFO	Carlsbad Field Office
CCP	Central Characterization Project
DOE	U.S. Department of Energy
IPT	Integrated Project Team
ISMS	Integrated Safety Management Systems
PM	Project Manager
PXP	Project Execution Plan
QA	Quality Assurance
TRU	Transuranic
WIPP	Waste Isolation Pilot Plant
WTS	Washington TRU Solutions LLC

1.0 PROJECT OVERVIEW

The American Recovery and Reinvestment Act of 2009 (referred to as ARRA, the Recovery Act, or the Act) provided certain funds to the U.S. Department of Energy (DOE) resulting in work projects for the Waste Isolation Pilot Plant (WIPP). The purpose of the funds is to reduce the contaminated foot print in the DOE complex resulting from nuclear defense activities with an additional goal of creating lasting economic benefits. The target of the funds is the acceleration of transuranic (TRU) waste disposal at the WIPP. To this end, Washington TRU Solutions LLC (WTS) has developed a Project Execution Plan (PXP) to control the activities (refer to WP 15-GM.04, American Recovery and Reinvestment Act Project Execution Plan).

In addition to the PXP, formal correspondence from WTS to the DOE Carlsbad Field Office (CBFO) addressed the safety of work created under the ARRA (AA:09:00742, dated March 17, 2009). Attached to this correspondence, was a document entitled Support for WIPP American Recovery and Reinvestment Act Projects, Revision 1 March 17, 2009. This document committed to implement effectiveness assessments to assure that required programs are in place for each ARRA project, that each project is adequately staffed, and that the programs are effectively implemented.

This Project Plan supports WP 15-GM.04 and establishes the program for the committed effectiveness assessments. The scope includes WTS ARRA activities at the WIPP Site, the ARRA Integrated Project Team (IPT) offices in Carlsbad, and at generator sites where Central Characterization Project (CCP) personnel are assigned to ARRA funded projects.

2.0 PROJECT ORGANIZATION

The project team is comprised of representatives of the WTS Quality Assurance (QA) Department, supported by subject matter experts from various site organizations. Personnel used may be WTS QA employees or personnel contracted by WTS QA.

<u>Name</u>	<u>Role</u>	<u>Organization</u>	<u>Contact</u>
Beck Anderson	Lead Assessor	WTS QA	234-8754 234-8114

This list may be modified as the ARRA program progresses. For immediate needs or changes, the WTS QA Manager (234-8403) or WTS QA Program/Project Integration Manager (234-8778) may be contacted.

3.0 PROJECT ADMINISTRATION

Effectiveness Assessments on ARRA projects will be administered in accordance with the Project Administration section of WP 15-GM.04.

4.0 PROJECT QUALITY

This assessment activity will be performed in accordance with WP 13-QA.03, Quality Assurance Independent Assessment Program, and the process is briefly presented below for information purposes and guidance.

4.1 Establish assessment entity

- This Project Plan establishes the assessment entity for ARRA effectiveness assessments. A Lead Assessor is identified in this Project Plan.

4.2 Review existing plan and schedule and establish list of ARRA assessments

- Obtain current information regarding ARRA Projects using WP 15-GM.04, Attachment 1 updated with current projects, or equivalent updated list.
- Identify the current projects and the schedule for each project from WP 15-GM.04, Attachment 2, updated with current schedule, or equivalent updated schedule.
- Document the assessments to be performed in the WTS QA Independent Assessment Subject Master Table.

4.3 Develop schedule for ARRA assessments

- Prioritize an ARRA assessment schedule based on project start dates, scheduled project duration, and proposed length of time for each assessment. Consideration will be paid to assessing as early in the life of a project as is practicable. Additional assessments on the same project may be added to the schedule as is practicable or deemed necessary.
- Document the assessment schedule in chart format in accordance with WP 13-QA.03 either in a separate chart of similar format or grouped together on the main chart.
- Submit the ARRA assessment schedule to both the WTS ARRA Project Manager (concurrence) and the WTS QA Manager (approval per WP 13-QA.03).

4.4 Identify the Lead Assessor and assessment team

- The WTS QA Manager/Assurance Programs Manager or designee will identify the Lead Assessor. Subject matter experts or technical specialists may be used to support the assessment of particular processes within their areas of knowledge.

4.5 Plan an individual assessment

- The Lead Assessor will obtain a unique assessment number for ARRA assessments from the assessment coordinator and ensure that "ARRA" is included in the title.
- The ARRA assessments will be conducted in accordance with WP 13-QA.03 as WTS QA Surveillances, using the Surveillance form (see example in Attachment 1 of this Project Plan) provided. The surveillance form will identify the assessment criteria and the assessment results.
- The criteria to be assessed are derived from ARRA requirements, direction to WTS from CBFO, WIPP procedures, and commitments made by WTS. General considerations and documents to be reviewed for potential criteria include but are not limited to:
 - Required programs are in place for each ARRA project
 - Each project is adequately staffed
 - Programs are effectively implemented
 - WP 13-1
 - WP 13-QA.03
 - WP 15-GM.04
 - Various safety, project control, procurement, work authorization, and quality procedures
- Document the assessment criteria in the Surveillance form in the block provided, or make specific reference to it if too lengthy to be effective on the form.

4.6 Assessment announcement

- Formal announcements of surveillances are not required by WP 13-QA.03; however, courtesy and prudence call for a coordinated approach to performing ARRA assessments. It is in the best interests of both parties to coordinate the assessment. Communicate the reason and schedule for the assessment to the lead person responsible for the project.

4.7 Perform assessment

- Discuss with the project lead person/designee the area(s) to be assessed, and request assistance in locating personnel or records.
- Perform the assessment using the preplanned criteria documented on the Surveillance form.
- Communicate any issues noted with project lead personnel for clarification and their information and use.
- Provide an exit briefing, if needed or requested, to summarize the assessment results, and any issues noted.

4.8 Document and report assessment

- Document the results of the assessment on the WTS QA Surveillance form. Assessment criteria should be addressed in the results to the degree necessary to provide assurance the subject was evaluated.
- A general statement should be made identifying the subject and scope of the assessment. A general statement should also be made regarding the assessment results (general state of compliance and effectiveness), positive points, and any issues noted.
- If an issue is determined to be a condition adverse to quality (CAQ), it will be documented on a WTS WIPP Form in accordance with WP 04-IM1000, Issues Management Processing of WIPP Forms. If the issue is not a CAQ but requires a resolution to meet the intent of the ARRA requirements, it will be so identified in the report as a condition requiring resolution, and identified in a manner that allows tracking to closure. If the issue does not require resolution, but is deemed prudent as a Lesson Learned, it will be so identified in the report as information. All issues found will be considered as Lessons Learned with the intent to inform the WIPP and other sites, thus improving effectiveness/precluding recurrences.
- Issue the Surveillance report in accordance with WP 13-QA.03. Every effort should be made to issue the report in a timely manner to ensure effectiveness.

4.9 Resolve issues arising from assessment

- For issues reported on WIPP Forms, WP 04-IM1000 will be used to process the issue to completion.

- For issues not requiring WIPP Forms, but requiring resolution, documented communication will be used to provide a "paper-trail." Responses will be evaluated for adequacy in resolving the issue, and closure will be documented in the assessment file.
- For any issue, consideration will be given to feeding back the issue (Lessons Learned) to the WIPP and any site where WTS is performing ARRA activities, for program or process improvements.

5.0 RECORDS

- Assessment documentation and records will be controlled in accordance with WP 13-QA.03; however, a copy of the assessment, including the report, and documentation associated with issue closure will be provided to the ARRA project.

6.0 REFERENCES

- AA:09:00742, March 17, 2009, *Revised Response to the Safety of Work Created Under the American Recovery and Reinvestment Act*
- WP 04-IM1000, Issues Management Processing of WIPP Forms
- WP 13-1, Washington TRU Solutions LLC Quality Assurance Program Description
- WP 13-QA.03, Quality Assurance Independent Assessment Program
- WP 15-GM.04, American Recovery and Reinvestment Act Project Execution Plan

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WP 15-GM.05, Rev. 0

Attachment 1 – Example Surveillance Assessment

**Quality Assurance Independent Assessment Program
WP 13-QA.03, Rev. X**

Washington TRU Solutions Quality Assurance			
Surveillance Report Number: A 09-01		Date: Sept. 23, 2009	
Subject ARRA Effectiveness Assessment of		Organization(s) Surveilled CCP, ARRA Team	
Scope This assessment evaluated the			
Assessor(s) W. B. Anderson			
Requirement References (include revision no.) WP 13-1, Rev. XX, Washington TRU Solutions LLC Quality Assurance Program Description WP 13-QA.03, Rev. XX, Quality Assurance Independent Assessment Program			
Surveillance Criteria		<input type="checkbox"/> Checklist on file in QA	
List criteria, and source			
Personnel Contacted (* indicates persons to whom a copy of this report is to be distributed)			
Documents Reviewed (during the assessment)			
Results/Conclusions <input type="checkbox"/> WIPP Forms(s) identified in Findings			
_____ W. B. Anderson Assessor		_____ Martin D. Keathley Manager, Assurance Programs	
Date		Date	
Comments			
cc: Lead Project person, others who could benefit from this report WTS ARRA IPT file A 09-01 QA file			