

**U. S. Department of Energy  
Carlsbad Field Office**

**TEAM PROCEDURE**

**CBFO TP 10.7, Rev. 1**

Approved: June 14, 2007

Expires: June 14, 2009

**SUBJECT: OPERATIONAL ASSESSMENTS**

Office Director, Office of Site Operations: //signature on file//

Date:

**1.0 PURPOSE**

The purpose of this procedure is to describe the process used to perform and document Carlsbad Field Office (CBFO) operational assessment activities.

**2.0 SCOPE**

This procedure applies to the oversight of contractor operational activities associated with the Office of Site Operations. Oversight is based on compliance with the requirements and regulations applicable to the Waste Isolation Pilot Plant (WIPP) transuranic (TRU) waste program. This procedure supersedes Team Procedure (TP) 10.7, Revision 0.1.

**3.0 REFERENCES AND DEFINITIONS**

3.1 References

- DOE/CBFO-04-3299, *CBFO Contractor Oversight Plan*
- DOE/CBFO-94-1012, *Quality Assurance Program Document (QAPD)*
- CBFO Management Procedure (MP) 3.1, *Corrective Action Reporting*
- CBFO MP 4.9, *Quality Assurance Records*

3.2 Definitions

- **Operational Assessment Report (OAR)** – Computerized form (see attachment 1) used to provide, at a minimum, the scope, activities assessed, and assessment results of an operational assessment.
- **Assessor** – A person that performs an oversight assessment of activities.
- **Assessment Results** – Designation of oversight activities by associated Work Breakdown Structure (WBS) number. The codes are used to populate the OAR database with information relative to the operational areas assessed.
- **Assessment Summary Report** – Report that summarizes the results and status of oversight activities.

**AVAILABLE ONLINE AT:**

<http://bellview/cbfo/Procedures/ProcedureManual/TOC.htm>

**INITIATED BY:**

Office Director, Office of Site Operations

## 4.0 RESPONSIBILITIES

### 4.1 CBFO Office Director, Office of Site Operations

- 4.1.1 Determine necessary oversight activities and establish goals and priorities for assessments to be performed.
- 4.1.2 Review summary reports for impacts and any follow-up actions and ensure that the results have been communicated to affected organizations in a timely manner.
- 4.1.3 Ensure appropriate assessors are assigned to perform oversight activities.
- 4.1.4 Ensure assessors receive adequate training in performing assessments (including Lead Auditor Training, and familiarity with all applicable CBFO Quality Assurance management procedures).
- 4.1.5 Ensure cumulative results are analyzed for performance improvement.

### 4.2 Assessors

- 4.2.1 Develop scope for operational assessments. Include performance objectives and criteria in scope (Attachment 1, block 4).
- 4.2.2 Conduct assigned operational assessment activities.
- 4.2.3 Input the operational assessment results on the OAR.

## 5.0 PROCEDURE

### 5.1 Scheduling Assessment Activities

CBFO Office Director, Office of Site Operations, or staff may plan and schedule oversight activities to be conducted in their area of responsibility as necessary to assess operations in areas affecting environment, safety, and health.

### 5.2 Documenting Oversight Activities

- 5.2.1 The assessor plans and conducts the operational assessment activities as assigned and documents the results on a CBFO OAR (Attachment I).
- 5.2.2 If a condition adverse to quality (CAQ) is identified during the operational assessment, the assessor shall ensure a corrective action report (CAR) is initiated in accordance with the current revision of CBFO MP 3.1, *Corrective Action Reporting*. If a CAR is issued, MP 3.1 will be followed to closure.

### 5.3 Operational Assessment Follow-up and Closure

- 5.3.1 If issues identified during the Operational Assessment are not satisfactorily addressed prior to the end of the assessment, the assessor will conduct follow-up to ensure issues are satisfactorily addressed. The follow-up will include:
  - A. If responses are required, the assessor will document completion of actions taken to resolve issues in a memo to file. Copies of the memo will be provided to the contractor's cognizant manager and the Office Director, Office of Site Operations.
  - B. The assessor shall verify the satisfactory completion of actions taken to resolve issues and complete the closure of the OAR.

**6.0**    **RECORDS**

Records generated by this procedure shall be maintained in accordance with the current revision of CBFO MP 4.9, *Quality Assurance Records*. The only quality records generated by this procedure are OAR Reports and associated correspondence.

**7.0**    **ATTACHMENTS**

Attachment I:    Example of an Operational Assessment Report

Example of an Operational Assessment Report

CARLSBAD FIELD OFFICE

OPERATIONAL ASSESSMENT REPORT

CBFO Form 10.7-1

1. Report No.:       2. Date Assessed:       3. Assessors:

4. Scope:

5. Activities Assessed:

Code No.	Description:

6. Assessment Results:

WBS No:	Results: (S or U)	Assessment Comments:	Date Closed:

Impact Rating:

7. Assessment Summary:

If an issue is a deficiency requiring initiation of a CBFO CAR, answer yes to No. 8, initiate a CAR utilizing CBFO MP 3.1, and record CBFO CAR No. If no CBFO CAR is initiated, go to No. 9

8. CBFO CAR Required?    No     Yes       CBFO CAR No.:

9. Response Requested?    No     Yes       Response Due Date:

Response Received Date:

If you answered yes to No. 9, has the appropriated organization been notified? Yes

Response Details (including details that address, as requested by the assessor, the following items: Remedial Action, Root Cause Determination, Determination of Impact, Actions to Preclude Recurrence):

10. Additional Details (attachments provided as necessary):

Distribution:

Date:

CBFO Office of Site Operations, Office Director:	<input type="text"/>	<input type="text"/>
WTS Cognizant Manager:	<input type="text"/>	<input type="text"/>
WTS Responsible Department or Other:	<input type="text"/>	<input type="text"/>

11. Closed By:       Date Closed:

### Instructions for Completing the Operational Assessment Report

Except as otherwise stated, the assessor completes the Operational Assessment Report according to the following instructions.

#### BLOCK INSTRUCTIONS

1. Report Number (entered by the Operational Assessment Database).
2. Date the assessment was performed.
3. Assessor's name (printed).
4. Describe the scope of the assessment. Be specific.
5. Data for this field is automatically generated by the program.
6. Record the WBS numbers of the activities that are being assessed. Input the results of the assessment (S or U), brief but specific assessment comments (if any), the impact rating (from impact criteria 1 through 3 listed below), and the date the assessment was closed.

#### IMPACT CRITERIA

- 1 An **isolated** concern that has **little or no impact** on environment, safety, and health, or on disposal activities
- 2 A concern that **is not necessarily isolated**, but has **little or no impact** on environment, safety, and health, or on disposal activities
- 3 A concern that, if not corrected, **could have an impact** on environment, safety, and health **or** on disposal activities, or several repetitive concerns in the same area
7. Conclusions concerning overall results of the assessment.
8. Check Yes if a corrective action report (CAR) is initiated and record the CBFO CAR number.
9. Check Yes when a response is deemed necessary from the affected organization(s). The Office Director makes any recommendations or suggestions, enters the date due, then checks Yes when the appropriate organization(s) is notified of the response requested.
10. Document any additional details of the assessment or activities that are deemed worthwhile for operational improvements, environment, safety, and health improvements, or follow-up activities.
11. The assessor is responsible for verifying and validating that the assessment of activities identified on this report are closed shall sign and date closure in this block.

**NOTE:** Closure of the assessment does not indicate the closure of any CAR initiated, only that the CAR number has been documented in the report.