

United States Government

Department of Energy

# Memorandum

QA: QA

DATE: **MAR 28 2002**

REPLY TO

ATTN OF: RW-3 (James Blaylock/702-794-1420)

SUBJECT: OFFICE OF QUALITY ASSURANCE (OQA) ISSUANCE OF SURVEILLANCE  
OQA-02-S-10 OF U.S. DEPARTMENT OF ENERGY (DOE) OFFICE OF CIVILIAN  
RADIOACTIVE WASTE MANAGEMENT HEADQUARTERS (OCRWM/HQ)

TO: RW-1 (Margaret Chu)  
RW-2 (L. H. Barrett)

Enclosed is Surveillance Record OQA-02-S-10 conducted by representatives of OQA at DOE OCRWM/HQ on March 5-8, 2002.

The primary purpose of the surveillance was to evaluate compliance with selected DOE/RW-0333P, Revision 10, *Quality Assurance Requirements and Description* (QARD) sections, review of implementing procedures, review of in-process and submitted documentation, and personnel interviews.

The surveillance team did not identify any conditions adverse to quality or recommendations for improvement. The surveillance revealed that based on personnel interviews and review of documentation, DOE OCRWM/HQ is adequate and effective in the implementation in the attributes identified in the surveillance. This surveillance, when combined with annual OQA audit YMSCO-ARC-02-12, satisfies the QARD requirement for annual evaluations of quality assurance program implementation by OCRWM.

The surveillance is considered completed and closed as of the date of this letter. If you have any questions, please contact either James Blaylock at (702) 794-1420 or John R. Doyle at (702) 794-5021.

OQA:JB-0873

Enclosure:

Surveillance Record OQA-02-S-10

*James Blaylock*  
Ram Murthy, Acting Director  
Office of Quality Assurance

*Nm5507  
WM-11*

MAR 28 2002

cc w/encl:

Carl Weber, DOE/HQ (RW-3), FORS  
N. K. Stablein, NRC, Rockville, MD  
Robert Latta, NRC, Las Vegas, NV  
Alan Kalt, Churchill County, Fallon, NV  
Irene Navis, Clark County, Las Vegas, NV  
George McCorkell, Esmeralda County, Goldfield, NV  
Leonard Fiorenzi, Eureka County, Eureka, NV  
Andrew Remus, County of Inyo, Independence, CA  
Mickey Yarbrow, Lander County, Battle Mountain, NV  
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OFFICE OF CIVILIAN  
RADIOACTIVE WASTE MANAGEMENT  
U.S. DEPARTMENT OF ENERGY  
WASHINGTON, D.C.

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Surveillance No.  
OQA-02-S-10

QA: QA

QUALITY ASSURANCE SURVEILLANCE RECORD

SURVEILLANCE PLAN

1. ORGANIZATION/LOCATION:  U.S. Department of Energy (DOE) Office of Civilian Radioactive Waste Management/Headquarters (OCRWM/HQ)	2. SUBJECT:  Compliance with Selected DOE/RW-0333P, Revision 10, <i>Quality Assurance Requirements and Description</i> (QARD) Sections	3. DATE:  March 5 - 8, 2002
4. SURVEILLANCE OBJECTIVE:  Compliance-based surveillance of selected QARD attributes.		
5. SURVEILLANCE SCOPE:  The surveillance will be performed at OCRWM/HQ in Washington, D.C.  The surveillance will consist of the following sections of the QARD, and associated implementing procedures, to the extent implemented: 1.0, Organization; 2.0, Quality Assurance Program; 4.0, Procurement Document Control; 5.0, Implementing Documents; 6.0, Document Control; 7.0, Control of Purchased Items and Services; 16.0, Corrective Action; 17.0, Quality Assurance Records; Supplement I, Software; Supplement III, Scientific Investigation; Supplement V, Control of the Electronic Management of Data.  The surveillance will consist of, but will not be limited to, the processes associated with: 1) CRWMS Requirements Document (CRD); 2) Waste Acceptance Systems Requirements Document (WASRD); 3) Topical Safety Analysis Report (TSAR); and 4) Memorandums of Agreement		6. SURVEILLANCE TEAM:  Team Leader: <u>John R. Doyle</u>  Team Member: <u>Lester W. Wagner</u> <u>James E. Flaherty</u> <u>James V. Voigt</u>
7. PREPARED BY: (Surveillance Team Leader)  <u>John R. Doyle</u> John R. Doyle	DATE:  <u>2/4/02</u>	8. CONCURRENCE: (Acting Director, OQA)  <u>James B. Langford for</u> Ram Murthy
DATE:  <u>3/27/02</u>		

SURVEILLANCE RESULTS

9. BASIS OF EVALUATION / DESCRIPTION OF OBSERVATIONS:  See page 2.			
10. SURVEILLANCE CONCLUSIONS:  See page 3.			
11. COMPLETED BY: (Surveillance Team Leader)  <u>John R. Doyle</u>	DATE  <u>3/26/02</u>	12. APPROVED BY: (Director, OQA)  <u>James B. Langford for</u>	DATE  <u>3/27/02</u>

LP-2.3Q-OCRWM.1

Rev. 10/11/2001

ENCLOSURE

## 9. Basis for Evaluation/Description of Observations: (Cont)

On March 5 - 8, 2002, a surveillance was performed of the DOE offices in Washington D.C. The surveillance consisted of the evaluation of the processes associated with the review and approval of the CRD, the WASRD and the TSAR. This evaluation consisted of the review of implementing procedures, the review of in-process and submitted documentation, and personnel interviews. In addition, the surveillance evaluated DOE/OCRWM HQ's implementation of QARD Sections 1.0, 2.0, 4.0, 5.0, 6.0, 7.0, 16.0, 17.0, Supplements I, III, and V.

A summary of documents reviewed and each QARD functional area and attributes verified are described below:

- 1.0 The implementation of methodology for the review and approval of the CRD was evaluated during Office of Quality Assurance audit of Bechtel SAIC Company, LLC (BSC), BSC-ARC-02-05, and was found to be acceptable in meeting program requirements of implementing procedure AP-6.28Q, Revision 0, ICN 1, *Document Review*.
- 2.0 The WASRD, Revision 04, was submitted to BSC Records Processing Center (RPC) on March 6, 2002. The record package was over 3500 pages and it included AP-2.14Q, Revision 2, *Review of Technical Products and Data*, review records developed over a two-year period. The AP-2.14Q procedure was used as a basis for the document review instead of the AP-6.28Q procedure because the review was performed by organizations outside the DOE. The records package contained several versions of the document, the document review, and the final document review record. The document reviewers signed the concurrence block of individual review records when accepted.
- 3.0 At the time of the surveillance, the TSAR was undergoing evaluation/incorporation of U.S. Nuclear Regulatory Commission (NRC) comments resulting from their review. This document was initiated under Purchase Order DE-AC01-96RW00319 and subsequently sent to the NRC for review. This contract was modified and extended in September 2001 to December of 2002 to incorporate comments and finalize the TSAR.
- 4.0 Memorandums of Agreement, originally scoped for this surveillance, were not reviewed and examined during the surveillance. Review of this activity is currently being handled by Deficiency Report (DR) EM-02-D-069.

### The following documents reviewed during the course of the surveillance:

DOE/RW-0406, Revision 5, DCN 04, *Civilian Office of Waste Management Requirements Document*  
DOE/RW-0351 Revision 4, *Waste Acceptance System Requirements Documents*  
Award/Contract # DE-ACO1-97RW00319  
Award/Contract # DE-ACO1-96RW00319  
AP-6.28Q, Revision 0, ICN 1, *Document Review*  
AP-2.14Q, Revision 2, *Review of Technical Products and Data*  
AP-2.1Q, Revision 2, *Indoctrination and Training of Personnel*  
AP-2.2Q, Revision 1, *Establishment and Verification of Required Education and Experience of Personnel*  
LP-1.1Q-OCRWM, Revision 0, ICN 0, *Organization*  
LP-2.4Q-OCRWM, Revision 0, *Quality Assurance Program Controls*  
LP-4.2Q-OCRWM, Revision 0, *Procurement of Services*

### The following QARD Sections were reviewed and evaluated during the surveillance:

- QARD Section 1.0 "Organization": The following personnel and positions were reviewed to approved OCRWM organizational chart dated 12/19/01 to the requirements of LP-1.1Q-OCRWM and found to be satisfactory:  
  
Lake H. Barrett, Acting Director, Office of the Director  
Ram Murthy, Acting Director, Office of Quality Assurance,  
Jeffery R. Williams, Director, Systems Engineering and International Division  
Christine Lukasik, Director, Human Resources Division
- QARD Section 2.0 "Quality Assurance Program": The following personnel Train Serve Database files were reviewed for conformance to the requirements of AP-2.1Q and AP-2.2Q and found to be acceptable:

Carl Weber, Thomas Pollog, Mark Senderling, Nancy Slater, Sharon Pollock, and Choon Quan.

- QARD Section 4.0, "Procurement Document Control" and QARD Section 7.0, "Control of Purchased Items and Services":

Only one Q procurement, # DE-AC0197W00319, with Transnuclear, Inc. was identified. As of the surveillance, the deliverable for this procurement; the TSAR, is undergoing incorporation of NRC comments from their review. The last activity (non-quality affecting) concerning this procurement has been a contract extension to December 30, 2002 via a memorandum dated 9/19/01 from S. L. Waisley to J. Williams

- QARD Section 5.0, "Implementing Documents" and Section 6.0, "Document Control."

DOE/OCRWM HQ locally implements procedures LP-2.4Q-OCRWM, Revision 0, *Quality Assurance Program Controls* and LP-4.2Q-OCRWM, Revision 0, *Procurement of Services*. No changes or revisions have been made since their initial issuance over a year ago. The overall responsibility for their distribution and control is BSC. This QARD Section was determined to not be implemented by DOE/OCRWM HQ.

- QARD Section 16.0, "Corrective Action":

Since the last compliance audit, DOE/HQ has initiated no DRs.

- QARD Sections 17.0, "Records":

Records are generated and sent to BSC for processing to the RPC. Verified records package for the WASRD located in BSC offices have been created and sent to BSC for processing.

- The following sections, through personnel interviews, were determined to be not implemented by DOE/OCRWM HQ:

QARD Supplement I, "Software"; Supplement III, "Scientific Investigation"; and Supplement V, "Control of the Electronic Management of Data."

#### **Personnel Contacted during the Surveillance:**

Mark Senderling, General Engineer, System Engineering and International Division  
Markus Popa, General Engineer, Environmental and Operational Activities Division  
Leroy Stewart, General Engineer, Engineering and International Division  
Delores Elli-Brown, Records Specialist, BSC  
Gladys Ruffin, Records Lead, BSC  
Carl Weber, QA Specialist, Headquarters Quality Assurance Division  
Christine Lukasik, Director, Human Resources Director  
Sharon Pollock, Office of Human Resources and Administration

#### **10. SURVEILLANCE CONCLUSIONS: (Cont)**

The surveillance revealed, based on personnel interviews and review of documentation that, DOE/OCRWM HQ is adequate and effective in the implementation of the attributes identified in the surveillance. This surveillance, when combined with annual audit YMSCO-ARC-02-12, satisfies the QARD requirement for annual evaluations of quality assurance program implementation by OCRWM.