

PROJECT OFFICE QUALITY ASSURANCE AUDIT REPORT FOR

THE YUCCA MOUNTAIN PROJECT OFFICE AUDIT OF

HOLMES & NARVER, INC.

AUDIT NUMBER 90-06

CONDUCTED JULY 31 - AUGUST 2, 1990

Prepared by: Frank J. Kratzinger Date: 8/9/90
Frank J. Kratzinger
Audit Team Leader

Approved by: Donald G. Horton Date: 8-9-90
for Donald G. Horton, Director
Quality Assurance
Yucca Mountain Project Office

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ENCLOSURE

EXECUTIVE SUMMARY

This was a limited scope audit of Holmes & Narver, Inc. (H&N) activities associated with the following criteria:

- 1.0 Organization
- 2.0 Quality Assurance Program
- 8.0 Identification and Control of Items, Samples, and Data
- 12.0 Control of Measuring and Test Equipment
- 13.0 Handling, Shipping, and Storage
- 16.0 Corrective Action
- 17.0 Quality Assurance Records
- 18.0 Audits

The activities audited for implementation of the requirements for Criteria 1, 12, 16, 17, and 18 were found to be satisfactory and effectively implemented by H&N.

The activities audited for implementation of the requirements for Criterion 2 were found to be satisfactory and effectively implemented in the areas of selection, indoctrination, and training of personnel and the procedures for maintaining records of personnel qualification evaluations, indoctrination, training, and proficiency evaluation. However, the implementation of the procedures for Management Assessment and Readiness Review was marginally effective. In the case of the Management Assessment (MAP-H&N-89-01) it was found that one committee member, out of a total of eight, was not appointed by a letter from the Technical Project Officer. In addition, it was uncertain whether the report was issued within the specified time period. In the case of the Readiness Review (RR-H&N-89-01) there was inattention to detail in that: (1) several approval signatures were missing, and (2) two identical checklists in the design area were evaluated by two different people with no evidence as to how the differences in comments were resolved (Procedure YMP-280 allows the Team Chairperson to submit the final record).

Criteria 8 and 13 could not be evaluated for effectiveness, since no QA Level I or II work has been performed by H&N.

1.0 INTRODUCTION

This report contains the results of a Quality Assurance (QA) limited scope audit of Yucca Mountain Project Office (Project Office) activities performed by Holmes & Narver, Inc. (H&N). The audit was conducted at the H&N facilities in Las Vegas, Nevada and the Nevada Test Site, in Mercury, Nevada on July 31 through August 2, 1990. The audit was conducted in accordance with the requirements of QMP-18-01, Revision 3, "Audit System for the Waste Management Project Office." The QA program requirements to be verified were taken from the Project Office Quality Assurance Plan (YMP/88-9), Revision 4.

2.0 AUDIT SCOPE

The following program elements were audited to assess compliance with the H&N Quality Assurance Program Plan (QAPP), Revision 4, and to verify the implementation of the QA program as it relates to the Yucca Mountain Project:

- 1.0 Organization
- 2.0 Quality Assurance Program
- 8.0 Identification and Control of Items, Samples, and Data
- 12.0 Control of Measuring and Test Equipment
- 13.0 Handling, Shipping and Storage
- 16.0 Corrective Action
- 17.0 Quality Assurance Records
- 18.0 Audits

3.0 AUDIT TEAM PERSONNEL

The Audit Team consisted of the following personnel:

<u>Responsibility</u>	<u>Individual</u>
Audit Team Leader	Frank J. Kratzinger
Auditors	Neil D. Cox Charles C. Warren Richard L. Weeks
Auditors-in-Training	Don Hendrix John S. Martin Steve P. Nolan
Observer, NRC	Tilak L. Verma

4.0 SUMMARY OF AUDIT RESULTS

4.1 Statement of Program Effectiveness

The following is the Audit Team's summation of the effectiveness of the criteria audited. This summation is the result of measuring the implementation of the H&N Yucca Mountain Project procedures.

The activities audited for implementation of the requirements for Criteria 1, 12, 16, 17 and 18 were found to be satisfactory and effectively implemented by H&N.

The activities audited for implementation of the requirements for Criterion 2 were found to be satisfactory and effectively implemented in the areas of selection, indoctrination, and training of personnel and the procedures for maintaining records of personnel qualification evaluations, indoctrination, training, and proficiency evaluation. However, the implementation of the procedures for Management Assessment and Readiness Review was marginally effective. In the case of the Management Assessment (MAP-H&N-89-01) it was found that one committee member, out of a total of eight, was not appointed by a letter from the Technical Project Officer (TPO). In addition, it was uncertain whether the report was issued within the specified time period. In the case of the Readiness Review (RR-H&N-89-01) there was inattention to detail in that: (1) several approval signatures were missing, and (2) two identical checklists in the design area were evaluated by two different people with no evidence as to how the differences in comments were resolved (Procedure YMP-280 allows the Team Chairperson to submit the final record).

Criteria 8 and 13 could not be evaluated for effectiveness, since no QA Level I or II work has been performed by H&N.

4.2 Summary of Technical Activities

There were no technical activities conducted since the last audit.

4.3 Summary of Findings

There were no findings generated during this audit.

5.0 AUDIT MEETINGS

5.1 Preaudit Conference

A preaudit conference was held with the H&N TPO and his staff at 10:00 a.m. on July 31, 1990. The audit scope and proposed agenda for the audit were presented and the Audit Team was introduced. A list of the attendees for this meeting is provided in Enclosure 1 to this report.

5.2 Personnel Contacted During the Audit

See Enclosure 1.

5.3 Postaudit Conference

The postaudit conference was held at 1:00 p.m. on August 2, 1990. The results of the audit were presented to the TPO and his staff. A list of the attendees for this meeting is provided in Enclosure 1 to this report.

6.0 SYNOPSIS OF STANDARD DEFICIENCY REPORTS AND OBSERVATIONS

There were no Standard Deficiency Reports or Observations generated during this audit.

7.0 RECOMMENDED ACTION

The following actions are recommended:

1. A letter should be written by the TPO confirming the appointment of the Management Assessment Committee member whose letter was missing from the record.
2. Required approval signatures should be obtained for the Readiness Review.
3. Documented evidence should be obtained to demonstrate the resolution of comments for the checklists identified for the Readiness Review.

ENCLOSURE 1

H&N AUDIT 90-06
PERSONNEL CONTACTED

NAME	ORGANIZATION	TITLE	CONTACTED		
			PRE- AUDIT	DURING AUDIT	POST- AUDIT
Calovini, Joseph C.	H&N	TPO	X	X	X
Cox, Neil D.	SAIC	Auditor	X	X	X
DeKlever, Richard C.	H&N	Sr. Eng. II	X	X	X
Diaz, Mario R.	YMP	Project Office QA	X		X
Hendrix, Don	CER	Auditor-in-Training	X	X	X
Kratzinger, Frank J.	SAIC	Audit Team Leader	X	X	X
Martin, John S.	SAIC	Auditor-in-Training	X	X	X
McDaniel, Gary R.	H&N	Admin. Sect. Chief	X	X	X
McNeely, John E.	H&N	Resident Engr. F.E.O.	X	X	
Moore, Sandra L.	H&N	Sr. Micro Oper. II		X	
Mouser, Evert R.	H&N	PE	X	X	
Musick, Ralph G.	H&N	PE	X		X
Nolan, Steve P.	SAIC	Auditor-in-Training	X	X	X
O'Donnell, Annice C.	H&N	Training Coordinator		X	
Patel, Bob K.	H&N	MTL Chief		X	
Sabol, Ronald P.	H&N	Sr. Proj. Eng. QA	X	X	
Schreiner, Randolph L.	H&N	System Sect. Chief	X	X	X
Smith, Twyla D.	H&N	Records Coordinator-Lead		X	
Tuthill, Harry R.	H&N	QA Supervisor	X	X	X
Verma, Tilak R.	NRC	Observer	X	X	X
Warren, Charles C.	MACTEC	Auditor	X	X	X
Weeks, Richard L.	SAIC	Auditor	X	X	X
Wright, Carl O.	H&N	Manager QA			X