

YUCCA MOUNTAIN QUALITY ASSURANCE DIVISION

QUALITY ASSURANCE SURVEILLANCE REPORT

OF

LOS ALAMOS NATIONAL LABORATORY

SURVEILLANCE NUMBER YMP-SR-91-025

CONDUCTED SEPTEMBER 17 THROUGH 19, 1991

ACTIVITIES SURVEILLED:

INSTRUCTIONS, PROCEDURES, PLANS, AND DRAWINGS  
AND DOCUMENT CONTROL

Prepared by:

Frank J. Kratzinger  
Frank J. Kratzinger  
Surveillance Team Leader  
Yucca Mountain Quality Assurance Division

Date:

10/4/91

Approved by:

Richard E. Spence  
Richard E. Spence  
Director  
Yucca Mountain Quality Assurance Division

Date:

10/8/91

## 1.0 INTRODUCTION

This report contains the results of Yucca Mountain Quality Assurance Division (YMQAD) Surveillance No. YMP-SR-91-025 of Los Alamos National Laboratory (LANL) conducted at Los Alamos, New Mexico, on September 17 through 19, 1991.

## 2.0 PURPOSE AND SCOPE

The purpose of this surveillance was to evaluate the effectiveness of implementation of LANL procedures for Criterion V, "Instructions, Procedures, Plans, and Drawings" and Criterion VI, "Document Control." The evaluation focused on compliance with the following approved LANL procedures:

1. LANL-YMP-QP-06.1, Revision 2, "Document Control"
2. LANL-YMP-QP-06.2, Revision 0, "Preparation, Review, and Approval of Quality Administrative Procedures"
3. LANL-YMP-QP-06.3, Revision 0, "Preparation, Review, and Approval of Detailed Technical Procedures"

## 3.0 SURVEILLANCE PERSONNEL

The surveillance was conducted by Frank J. Kratzinger, Quality Assurance Engineer, Science Applications International Corporation/YMQAD

## 4.0 SUMMARY OF SURVEILLANCE RESULTS

The implementing procedures listed in Section 2.0 of this report were the source of questions used to conduct this surveillance. Checklists generated from these documents were used to determine compliance. The following results were obtained during the surveillance:

### 1. LANL-YMP-QP-06.1, Revision 2 "Document Control"

Quality Procedures (QPs) and Detailed Procedures (DPs) were reviewed to verify that the Quality Assurance Project Leader (QAPL) had approved the procedures.

A review of the Master Controlled Document List, which is maintained by the Quality Assurance Support (QAS) Resident File Custodian, found the lists to be up to date.

The surveillor reviewed the distribution letters and returned signed Controlled Document Acknowledgment forms to verify that the QAPL, or author of the procedure, had specified the date by which the recipient must return the form. The forms were properly completed and returned.

Names were selected from the Master Controlled Document Distribution List and verified that the holders of the manuals had the current procedures in their books. Books reviewed were for Dick Shay, Curt Thomson, Betty Romero, and Chris Chavez.

It was verified that the QAS Resident File Custodian had sent the records package to the Records Processing Center (RPC) for eight records packages.

The QAS Resident File Custodian files were reviewed. It was verified that superseded and obsolete documents are maintained and stamped accordingly.

2. LANL-YMP-QP-06.2, Revision 0, "Preparation, Review, and Approval of Quality Administrative Procedures"

The following procedures were reviewed:

LANL-YMP-QP-04.4, Revision 0	LANL-YMP-QP-04.5, Revision 0
LANL-YMP-QP-06.1, Revision 2	LANL-YMP-QP-06.2, Revision 0
LANL-YMP-QP-06.3, Revision 0	LANL-YMP-QP-17.3, Revision 1
LANL-YMP-QP-18.1, Revision 4	

The surveillor reviewed the QP Action Request Forms and verified that the preparer had completed Section 1 of the forms satisfactorily and the forms were approved by the QAPL.

The surveillor reviewed the letters from the QAPL requesting a review of the draft QPs and the documented review sheets and Quality Assurance checklist submitted by the reviewers.

It was verified that the preparer resolved all the mandatory comments and revised the draft procedure to incorporate the resolved comments.

It was verified that the Technical Project Officer (TPO) signed and dated the cover page of the QPs and forwarded the QP Action Request to the Records Coordinator.

It was verified that the Records Coordinator does file a copy of the original draft QP, the final approved copy of the QP, the QP Action Request, Quality Assurance Review Checklists, LANL Yucca Mountain Site Characterization Project (YMP) Review Sheets, and any related correspondence in a records package in the QAS Resident File and forwards two copies of the package to the RPC.

The surveillor reviewed the table of contents of the Quality Assurance Manual (QAM) and verified that procedures that were deleted were appropriately labeled as such in the table of contents.

3. LANL-YMP-QP-06.3, Revision 0, "Preparation, Review, and Approval of Detailed Technical Procedures"

The following DPs were reviewed:

INC-DP-85, Revision 0	INC-DP-78, Revision 1
ESS-DP-16, Revision 5	ESS-DP-24, Revision 3
ESS-DP-25, Revision 4	ESS-DP-56, Revision 3
ESS-DP-110, Revision 2	ESS-DP-119, Revision 1

A review of the DP Action Request Forms verified that the preparer had completed Section 1 of the forms satisfactorily and the forms were approved by the Principal Investigator (PI).

The surveillor reviewed the documented review sheets and Quality Assurance Checklists submitted by the reviewers.

It was verified that the preparer does resolve all the mandatory comments and revised the draft procedure to incorporate the resolved comments.

It was verified that the PI does determine the training needs and completes Section III of the DP Action Requests.

It was verified that the TPO does sign and date the cover pages of the procedures.

It was verified that the Records Coordinator does update the QAM by listing the DP and its level of training in the table of contents.

The surveillor reviewed letters originated by the Records Coordinator informing LANL YMP personnel of the training requirements for new/revised DPs.

It was verified that the preparer does file a copy of the DP Action Request, the original draft DP, all LANL YMP Review Sheets, Quality Assurance Review Checklist, and any related correspondence in the group resident file.

It was verified that for deletions (TWS-ESS-DP-106, Revision 1), the Records Coordinator does update the QAM by entering "deleted" for the revision number of the DP in the Table of Contents.

It was verified that the Records Coordinator does file a copy of the DP Action Request and related correspondence as a records package in the QAS Resident File and forwards two copies to the RPC.

#### 5.0 PERSONNEL CONTACTED DURING THE SURVEILLANCE

Stephen Bolivar, Quality Assurance Project Leader, LANL  
Chris Chavez, Training Coordinator, Los Alamos Technical Associates (LATA)  
Michael Clevenger, Quality Assurance Leader, LANL  
John Day, Quality Assurance Verification Coordinator, LATA  
Paul Gillespie, Quality Assurance Engineer, LATA  
Carol LaDelfe, Quality Assurance Leader, LANL  
Sandra Martinez, Records Assistant, LATA  
Gregory Rand, Quality Assurance Engineer, LATA  
Lynn Sanders, Records Coordinator, LATA  
Richard Shay, Quality Assurance Engineer, LATA  
Karen West, Administrative and Control Project Leader, LANL  
Donna Williams, LANL

#### 6.0 MEASURING AND TEST EQUIPMENT USED DURING THE SURVEILLANCE

None.

#### 7.0 DEFICIENCIES CORRECTED DURING THE SURVEILLANCE

Procedure QP-06.1 was revised to eliminate the wording that the QAPL approve changes to the Table of Contents of the QAM. This requirement could not be verified.

The required training blocks of Section III of the DP Action Request Forms were not filled in for those procedures in Earth and Space Science (ESS) group. These were corrected during the surveillance.

Memorandums were written to the file for the names of individuals omitted or changed in the distribution of the Software Quality Assurance Plan.

A copy of procedure QP-18.1, Revision 4 which was omitted from the records package was added to the records package to be in compliance with procedural requirements.

#### 8.0 RECOMMENDATIONS

The Master Distribution List for Controlled Documents could be organized in a less confusing manner than its present configuration. A review of the existing Master Distribution List indicated the following:

1. The controlled document holders list dated August 14, 1991, does not list the documents assigned to an individual.

2. The list of DP holders does not list all the DPs that an individual is assigned.
3. The list titled "DP Requests" is a listing by book number, name, and requested procedure. There is no indication that this is an actual distribution and assignment of DPs.

The instructions on the Controlled Document Acknowledgment could be clearer for procedures that are superseded or withdrawn. Presently the instructions say to "Replace." It would be clearer if the instructions stated to "Replace and Discard" or "Replace and Return" the superseded or withdrawn procedures.

#### 9.0 REQUIRED ACTION

None.