OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT

YUCCA MOUNTAIN QUALITY ASSURANCE DIVISION

QUALITY ASSURANCE SURVEILLANCE REPORT OF

THE MANAGEMENT AND OPERATIONS CONTRACTOR CLOSURE

TO THE OPEN ITEMS OF THE NEVADA SITE FY-92 READINESS REVIEW

SURVEILLANCE NUMBER YM-SR-92-005

CONDUCTED MAY 11 THROUGH 14, 1992

ACTIVITIES SURVEILLED:

REVIEWED THE READINESS REVIEW OPEN ITEM REPORTS AND ASSOCIATED DOCUMENTATION TO VERIFY THAT THE MANAGEMENT AND OPERATIONS CONTRACTOR HAD TRACKED AND CLOSED THE OPEN ITEMS RESULTING FROM READINESS REVIEW NEVADA SITE FY-92 IN ACCORDANCE WITH THE REQUIREMENTS OF QUALITY ASSURANCE PROCEDURE QAP-2-6.

Prepared by: Frank J. Kratzinger Date: 5/19/92
Frank J. Kratzinger
Surveillance Team Leader
Yucca Mountain Quality Assurance Division

Approved by: T.E. Spence For Date: 5/27/92
Donald G. Horton
Director
Office of Quality Assurance

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PDR WASTE
WM-11 PDR

ENCLOSURE

1.0 EXECUTIVE SUMMARY

This report contains the results of the Office of Civilian Radioactive Waste Management (OCRWM) Quality Assurance (QA) Surveillance No. YM-SR-92-005 of the Management and Operations (M&O) contractor's closure of the Open Item Reports resulting from the Readiness Review Nevada Site FY-92 in accordance with the requirements of Quality Assurance Procedure (QAP) 2-6, Revision 0. The surveillance was conducted at the facilities of the M&O contractor in Las Vegas, Nevada, on May 11 through 14, 1992. The surveillance was conducted by a team from the Yucca Mountain Quality Assurance Division (YMQAD) of the Office of Quality Assurance (OQA) in accordance with the requirements of OCRWM Quality Assurance Administrative Procedure QAAP 18.3, Revision 3, "Surveillance Program."

A review of the 20 Open Item Reports of the readiness review revealed that the documentation to support the closure of seven of the Open Item Reports was lacking in sufficient detail to warrant the closures. This condition was corrected during the surveillance with more explicit signed documentation.

Two Corrective Action Requests (CARs) were generated as a result of this surveillance. One was for the failure to assign responsibility for the distribution of the Readiness Review Report and associated Open Item Reports. The other was for not having the Readiness Review Team Leader (RRTL) sign the Open Item Reports as required by QAP-2-6 and for not having documented evidence that an Open Item Report closed for the Nevada Site FY-92 Readiness Review, was picked up by the Vienna M&O Readiness Review as indicated by the closure documentation.

2.0 SCOPE

The surveillance was performed to review the Open Item Reports and associated documentation and verify that the Open Item Reports were properly closed in accordance with the requirements of QAP 2-6, Revision 0.

3.0 SURVEILLANCE TEAM

The surveillance team consisted of the following personnel:

Frank J. Kratzinger, Surveillance Team Leader, Quality Assurance Engineer, Science Applications International Corporation (SAIC)/YMQAD, Las Vegas, NV

4.0 PERSONNEL CONTACTED DURING THE SURVEILLANCE

Jack Jackson, TRW/M&O, Quality Assurance Manager, Nevada Site
Robert Justice, TRW/M&O, Quality Engineering Manager
Sam Horton, SAIC, Quality Assurance Engineer

5.0 SURVEILLANCE RESULTS

1. QAP-2-6, Revision 0, Readiness Review

   Twenty Open Item Reports resulting from the Readiness Review Nevada Site FY-92 were reviewed. None of the Open Item Reports were signed by the RRTL as required by the procedure. The responsibility for the distribution of the Readiness Review Report and associated Open Item Reports to affected organizations was not clearly defined in the procedure. There was no documented evidence that one Open Item Report which was closed was picked up by the Vienna M&O Readiness Review as the corrective action response indicated. These conditions resulted in the generation of two CARs.

   The documentation to support the closure of seven Open Item Reports was lacking in sufficient detail and authorization signature for the closure. This condition was corrected during the surveillance.

2. Synopsis of CARs Generated from the Surveillance

   The following two CARs were generated as a result of this surveillance:

YM-92-036	It is unclear as to who has the responsibility to distribute the Readiness Review Report and associated Open Item Reports after approval by the General Manager.
YM-92-037	The RRTLs signature does not appear on any of the twenty Open Item Reports reviewed. There was no documented evidence that Open Item 10 has become an Open Item at the Vienna M&O Readiness Review.

Information copies of the CARs are included as Enclosure 1 to this report.

3. Deficienices Corrected During the Surveillance

The documentation to support the closure of Open Item Reports 05, 13, 14, 15, 16, 18, and 19 was lacking in sufficient detail and signature to warrant the closing of the Open Item Reports. This was corrected with more explicit and signed documentation prior to the end of the surveillance.

6.0 RECOMMENDATIONS

The Readiness Review Open Item Report only requires the signature of a verifier to close the report. If a hold point is indicated, then the General Manager must also sign for the closure of the hold point.

The YMQAD recommends that an independent verification to accept and review the documentation of the closure objective evidence be added to the closure cycle to complete the loop of problem identification, proposed corrective action, corrective action completed, and corrective action verified.

ENCLOSURE 1

ORIGINAL
THIS IS A RED STAMP

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

8 CAR NO.: YM-92-036
DATE: 05/14/92
SHEET: 1 OF 1
QA

CORRECTIVE ACTION REQUEST

1 Controlling Document
OCRWM QARD, Rev. 4

2 Related Report No.
YM-SR-92-005

3 Responsible Organization
M&O

4 Discussed With
Robert Justice

5 Requirement:
Section 1 of the QARD states that "The organizational structure, functional responsibilities, levels of authority, and lines of communication for activities affecting quality shall be documented."

6 Adverse Condition:
The M&O procedure QAP-2-6, Revision 0, paragraph 5.6.1 states that "When the General Manager has reviewed and approved the Readiness Review Report, the report and attached Open Item Reports shall be distributed to affected organizations."

It is unclear as to who has the responsibility to distribute the report after it has been approved by the General Manager.

8 Does a significant condition adverse to quality exist? Yes___ No X_
If Yes, Circle One: A B C

10 Does a stop work condition exist?
Yes___ No X ; If Yes - Attach copy of SWO
If Yes, Circle One: A B C D

11 Response Due Date:
20 days after issue

12 Required Actions: ☒ Remedial ☐ Extent of Deficiency ☒ Preclude Recurrence ☐ Root Cause Determination

13 Recommended Actions:
Identify the remedial action to be taken to correct the deficiency noted in block 6 and the planned corrective action to prevent recurrence.

7 Initiator Frank V. Kratzinger Date 5/14/92	14 Issuance Approved by: QADD R.C. Spence Date 5/19/92
15 Response Accepted QAR Date	16 Response Accepted QADD Date
17 Amended Response Accepted QAR Date	18 Amended Response Accepted QADD Date
19 Corrective Actions Verified QAR Date	20 Closure Approved by: QADD Date

REV. 08/91

ENCLOSURE 1
(Continuation)

ORIGINAL
THIS IS A RED STAMP

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

8 CAR NO.: YM-92-037
DATE: 05/14/92
SHEET: 1 OF 1
QA

CORRECTIVE ACTION REQUEST

1 Controlling Document	2 Related Report No.
M&O QAP-2-6, Rev. 0	YM-SR-92-005

3 Responsible Organization	4 Discussed With
M&O	Robert Justice

5 Requirement:

Procedure QAP-2-6, Revision 0, paragraph 5.6.2, states that "The RRTL shall track open items and document closure on the Open Item Reports as appropriate."

Procedure QAP-2-6, Revision 0, paragraph 5.6.3, states in part that "The RRTL shall continue to track remaining Open Items, documenting closure on the Open Item Reports when actions are completed."

6 Adverse Condition:

Contrary to the above procedural requirements, the RRTL's signature does not appear on any of the 20 Open Item Reports reviewed.

In addition the following discrepancy was identified with Open Item No. 10:

The Open Item has a letter attached to it stating that with the approval of the QAP-3-series, all Open Items pertaining to MGP procedures will be closed. In addition it states that any problems with QAP-3-series procedures will be considered an Open Item at the Vienna M&O Readiness Review.

The Open Item was signed off as being closed.

No documented evidence is available to indicate that this Open Item has become an Open Item at the Vienna M&O Readiness Review.

9 Does a significant condition adverse to quality exist? Yes___ No X If Yes, Circle One: A B C	10 Does a stop work condition exist? Yes___ No X ; If Yes - Attach copy of SWO If Yes, Circle One: A B C D	11 Response Due Date: 20 days after issue

12 Required Actions: [X] Remedial [X] Extent of Deficiency [X] Preclude Recurrence [ ] Root Cause Determination

13 Recommended Actions:
Identify the remedial actions to be taken to correct the deficiencies noted in block 6, determine the extent of the deficiency and the planned corrective actions to prevent recurrence.

7 Initiator Frank J. Kratzinger Date 5/14/92	14 Issuance Approved by: QADD R.E. Spence Date 5/19/92
15 Response Accepted QAR Date	16 Response Accepted QADD Date
17 Amended Response Accepted QAR Date	18 Amended Response Accepted QADD Date
19 Corrective Actions Verified QAR Date	20 Closure Approved by: QADD Date

REV. 08/91