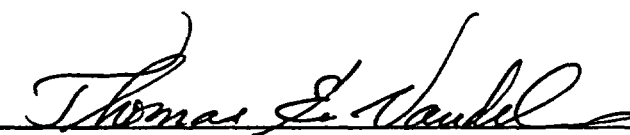


OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT  
YUCCA MOUNTAIN QUALITY ASSURANCE DIVISION  
QUALITY ASSURANCE SURVEILLANCE REPORT OF  
REVIEW OF PROGRAM COMMENT RESOLUTION AND PROCEDURES  
REVISION TO MEET NQA-1 AND  
RECORDS MANAGEMENT PLAN REQUIREMENTS  
SURVEILLANCE NUMBER YMP-SR-92-010  
CONDUCTED MAY 13 THROUGH 15, 1992

ACTIVITIES SURVEILLED:

LAWRENCE LIVERMORE NATIONAL LABORATORY PROPOSED RESOLUTION OF  
YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT/QUALITY ASSURANCE  
YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT OFFICE CONCERNS  
REGARDING INCORPORATION OF RECORDS MANAGEMENT PLAN  
YMP/CC-0016, REVISION 3, AND THE ANSI/ASME STANDARD NQA-1 1989,  
SUPPLEMENT 172-1 REQUIREMENTS - PROJECT RECORDS PACKAGES

Prepared by:

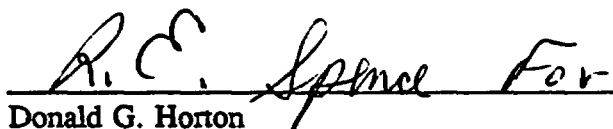


Date:

May 26, 1992

Thomas E. Vandel  
Senior Quality Assurance Engineer  
Yucca Mountain Quality Assurance Division

Approved by:



Date:

5/29/92

Donald G. Horton  
Director  
Office of Quality Assurance

## **1.0 EXECUTIVE SUMMARY**

This report summarizes the results of discussions with the Lawrence Livermore National Laboratory (LLNL) Yucca Mountain Site Characterization Project (YMP) personnel regarding the Yucca Mountain Quality Assurance Division concerns relating to the apparent lack of responsiveness to the NQA-1 and Records Management Plan (RMP) requirements.

The resolution of all concerns, by revision of applicable procedures, has been completed. The new revisions are now approved for use.

Regarding the LLNL use of Quality Procedures (QPs) and Administrative Procedures (APs) participant personnel indicated that their QPs, incorporating the quality requirements, and their APs, incorporating the RMP requirements, collectively respond to all of the applicable requirements for records management and control. In addition, they expect that all procedures implementing regulatory and/or RMP requirements, are subject to audit and/or assessment for adequacy.

## **2.0 SCOPE**

This surveillance was designed to resolve the remaining concerns outlined in the John G. Gandi letter, dated March 6, 1992, and more explicitly identified in an Annotated Analyses Matrix, document dated January 1992, provided to the participant. This letter requested an evaluation to determine if LLNL work in the Records Program is being guided, in part, by non-quality procedures.

## **3.0 SURVEILLANCE TEAM**

Thomas E. Vandel, Senior Quality Assurance Engineer, MAC Technical Services/Yucca Mountain Quality Assurance Division

## **4.0 PERSONNEL CONTACTED DURING THE SURVEILLANCE**

Barbara Bryan, LLNL, Project Administrator  
Raymond E. Hamati, LLNL, QA Engineer/Lead Auditor  
Dean Wolfe, LLNL, QA Manager

## 5.0 SURVEILLANCE RESULTS

### 1. Applicable LLNL Procedures

The following procedures represent the governing procedures for Records Management activity and reflect the latest revision status.

|  |  |
|--|--|
| AP-IT-6.0, Revision 3  | Records Management-Receipt Control                               |
| AP-IT-6.1, Revision 1,<br>Change Notice (CN) No: AP-IT-6.1-1-1 | Records Management-Records Storage and Preservation              |
| AP-IT-6.2, Revision 1,<br>CN No: AP-IT-6.2-1-1                 | Records Management-Transmittal to U.S. Department of Energy YMPO |
| 033-YMP-QP 3.3, Revision 2                                     | Review of Technical Publication Data                             |
| 033-YMP-QP 17.0, Revision 4                                    | Quality Assurance Records  |

### 2. Details of Concerns and Resolution

- o A total of 22 matrix comment items were discussed with LLNL personnel. Their proposed response was evaluated and through discussion, an acceptable modification to procedures was reached for each item.
- o A small sample of record packages was reviewed. Of three separate record packages reviewed (all having been revised), a concern was expressed regarding the re-authentication process.

Two of the three packages, initially authenticated by different originators, were re-authenticated by the same secretary. The discussion of this concern resulted in a further modification to procedure 033-YMP-QP 17.0, to more clearly prescribe who is required to re-authenticate. The records packages reviewed are as follows:

- LLYMP 9101 113 - LLYMP 9105 199 - LLYMP 9109 032

## 6.0 RECOMMENDATIONS

The LLNL QA Manager agreed with the suggestion to conduct a surveillance of other record packages for assurance of authentication adequacy.