

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT
QUALITY ASSURANCE PROGRAM TRENDS REPORT
FOR FIRST QUARTER FISCAL YEAR 1992
(COVERING THE PERIOD JANUARY 1991 - DECEMBER 1991)

Approved  Date 3/13/92
Donald G. Horton, Director
Office of Quality Assurance

9207130265 920708
PDR WASTE
WM-11 PDR

Encl 1

**QUALITY ASSURANCE PROGRAM TRENDS REPORT
FIRST QUARTER FISCAL YEAR 1992 (JANUARY - DECEMBER 1991)**

EXECUTIVE SUMMARY

1.0 Introduction

Quality Assurance Administrative Procedure (QAAP) 2.9, *Quality Assurance Program Trend Evaluation and Reporting*, Revision 3, requires that each of the OCRWM Quality Assurance Divisions evaluate, at quarterly intervals, all Corrective Action Requests (CARs) issued within the last twelve months that identified significant conditions adverse to quality. The purpose of this evaluation is to determine if any adverse trends or generic adverse trends are evident in the OCRWM QA Program and to take prompt corrective action where such trends exist.

This report covers the period from January 1 through December 31, 1991 and evaluates all CARs that reported either Severity Level 1 conditions (using the previous CAR classification method) or Significant Conditions Adverse to Quality (using the current CAR classification method).

Section 1 reports the results of the Headquarters Quality Assurance Division (HQAD) trend evaluation. Section 2 reports the results of the Yucca Mountain Site Characterization Project Quality Assurance Division (YMQAD) trend evaluation. Each section provides the status of previously reported adverse trends and identifies current adverse or generic adverse trends. Each section also contains details on problems constituting current adverse or generic adverse trends, discusses causes and actions to correct these trends, and includes a table of CARs that were evaluated for trends.

2.0 Summary

A total of sixteen (16) CARs were evaluated during the reporting period. The HQAD evaluated nine (9) CARs and the YMQAD evaluated seven (7) CARs. No adverse trends or generic adverse trends were evident in either of the evaluations.

At Headquarters, two CARs identified indoctrination and training deficiencies. One CAR, assigned to RW-1, reported that controls for training at Headquarters did not ensure personnel were adequately trained prior to performing activities. The other CAR, assigned to EM-343, reported a lack of training, indoctrination and orientation plans and schedules. Since the nature and cause of the two deficiencies differed, it was determined that a trend did not exist.

At YMP, previous evaluations identified the late publication of Sandia National Laboratory's audit reports as an adverse trend. This trend has been corrected.

**QUALITY ASSURANCE PROGRAM TRENDS REPORT
FIRST QUARTER FISCAL YEAR 1992 (JANUARY - DECEMBER 1991)**

SECTION 1

HEADQUARTERS

1.0 Status of Previously Reported Trends

There are no previously reported trends.

2.0 Current Adverse and Generic Adverse Trends

No adverse or generic adverse trends were evident from an evaluation of nine (9) Corrective Action Requests (CARs), issued by Headquarters during the last twelve months that identified significant conditions adverse to quality. Two CARs identified problems in the area of indoctrination and training (I&T). However, since one CAR identified problems in the development of I&T plans and schedules (CAR HQ-91-036) and the other (CAR HQ-91-021) identified problems with documentation of completion of I&T assignments, no adverse or generic adverse trend is considered to exist.

See Table 1-1, Significant Condition Data Base for HQ Trend Evaluation, for a list of CARs evaluated.

3.0 Problems Constituting Current Adverse Trends or Generic Adverse Trends

Since there are no current adverse or generic adverse trends at Headquarters, no problems constituting trends are evident.

4.0 Summaries of Identified Causes and Actions Required to Correct Current Adverse Trends or Generic Adverse Trends

Not applicable.

TABLE 1-1: SIGNIFICANT CONDITION DATA BASE FOR HQ TREND EVALUATION

CAR Number	CAR Issue Date	Resp. Org.	Adverse Condition
HQ-91-015	01/28/91	Koh	No objective evidence that a trend analysis program has been developed.
HQ-91-017	01/28/91	Koh	No objective evidence of a deficiency tracking system.
HQ-91-018	01/28/91	Koh	No Quality Assurance Manager and no documented signature authority during stated periods
HQ-91-021	03/13/91	RW-1	Controls for training at Headquarters do not ensure that personnel are adequately trained prior to performing activities.
HQ-91-033	09/17/91	EM-343	A quality records system has not been established and implemented.
HQ-91-035	10/22/91	EM-343	Generic noncompliance with procedures
HQ-91-036	10/22/91	EM-343	Lack of I&T plans and schedules
HQ-91-039	10/22/91	EM-343	Work in the quality assurance program has not been classified.
HQ-92-003	11/08/91	RW-30	Technical baseline for transportation is not available.

**QUALITY ASSURANCE PROGRAM TRENDS REPORT
FIRST QUARTER FISCAL YEAR 1992 (JANUARY - DECEMBER 1991)**

SECTION 2

YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT

1.0 Status of Previously Reported Trends

CAR YM-91-078, identified during Audit YMP-91-07 of Sandia National Laboratory (SNL), reported repetitive issuance of audit reports later than the 30 days specified by the SNL Quality Assurance Program Plan (QAPP). The repetitive nature of the condition constituted a "trend" as defined in QAAP 2.9. The CAR was classified Severity Level 1 because previously assigned corrective action appeared to have been ineffective.

The 30-day requirement in the SNL QAPP was not required by higher tier documents. SNL removed the requirement from the QAAP on July 29, 1991. Subsequently, they instituted a policy that, in instances where issuance of audit reports is likely to be delayed, adverse audit findings will be issued separately and within 30 days.

CAR YM-91-78 was closed November 11, 1991. Closure corrected this previously reported trend.

2.0 Current Adverse and Generic Adverse Trends

No adverse or generic adverse trends were identified during an evaluation of seven CARs, issued by the Yucca Mountain Quality Assurance Division (YMQAD) during the last twelve months that identified significant conditions adverse to quality. No two CARs identified similar conditions.

See Table 2-1, Significant Condition Data Base for Trend Evaluation, for a list of CARs evaluated.

3.0 Problems Constituting Current Adverse Trends or Generic Adverse Trends

In the absence of current trends or generic adverse trends, no such problems exist.

4.0 Summaries of Identified Causes and Actions Required to Correct Current Adverse Trends or Generic Adverse Trends

Not applicable.

TABLE 2-1: SIGNIFICANT CONDITION DATA BASE FOR YMP TREND EVALUATION

CAR Number	CAR Issue Date	Resp. Org.	Adverse Condition
YM-91-063	06/91	SAIC	M&TE list contained incorrect entries.
YM-91-065	07/91	YMP	Some documents processed as QA records were either illegible or lacked all required entries, and the use of the "Best Available Copy" stamp was judged to have taken the place of record enhancement or documented justification for retention of partially legible records.
YM-91-078	08/91	SNL	(1) ICN to audit procedure removed the time limit for issuing audit reports. The SNL QAPP required issuance in 30 calendar days. (2) At least 10 SNL audit reports were issued later than allowed by the SNL QAPP.
YM-91-082	09/91	YMQAD	Auditor qualification records not submitted to LRC for auditors who are no longer on the program.
YM-92-005	10/91	YMP (PNL)	Battelle's Pacific Northwest Laboratories were performing Project quality-affecting work without an OCRWM approved QA Program.
YM-92-007	10/91	YMP	Lack of procedure to control modification of NVO contracts to support YMP.
YM-92-018	12/91	LLNL	Adverse audit findings were being reported as observations.

ADDRESSEES

John W. Bartlett, Director
Office of Civilian Radioactive Waste Management, RW-1

Franklin G. Peters, Deputy Director
Office of Civilian Radioactive Waste Management, RW-2

Thomas H. Isaacs, Director
Office of Strategic Planning and Int'l Programs, RW-4

Jerome Saltzman, Director
Office of External Relations, RW-5

Samuel Rousso, Associate Director
Office of Program and Resources Management, RW-10

Carl P. Gertz, Associate Director
Office of Geologic Disposal, RW-20

John Roberts, Associate Director
Office of Systems and Compliance, RW-30

Ronald A. Milner, Associate Director
Office of Storage and Transportation, RW-40

Franklin G. Peters, Acting Associate Director
Office of Contract Business Management, RW-50

Kenneth A. Chacey, Director
Vitrification Projects Division
Office of Waste Management Projects
Environmental Restoration and Waste Management, EM-343

Kathy Gibbard, Manager, Nuclear Fuel Data
Energy Information Administration, EI-531

Marc Meyer, OCRWM Program Manager
CER Corporation

Lew Robertson, OCRWM Project Manager
Koh Systems, Inc.

R.L. Robertson, General Manager, CRWMS M&O
TRW Environmental Safety Systems, Inc.

Robert E. Jackson, OCRWM Program Manager
Roy F. Weston, Inc.

ADDRESSEES

Page 2

Margaret Fisher, Chief
Civilian Rad-Waste Branch
U.S. Department of Energy
Idaho Field Office
785 DOE Place
Idaho Falls, ID 83402

Rick Collier
U.S. Department of Energy
Oak Ridge Field Office
P.O. Box 2007
Oak Ridge, TN 37831

Max R. Kreiter, Manager
Office of Civilian Waste Programs
Pacific Northwest Laboratories
P.O. Box 999
Richland, WA 99352

Chin-Fu Tsang, Project Manager
Geological Repository Project
Lawrence Berkeley Laboratory
1 Cyclotron Road, Bldg. 50E
Berkeley, CA 94720

Willis L. Clarke, Technical Project Officer for
Yucca Mountain Site Characterization Project
Lawrence Livermore National Laboratory
University of California
Lawrence Livermore National Laboratory
P.O. Box 5514, L-217
Livermore, CA 94551

Julie A Canepa, Acting Technical Project Officer for
Yucca Mountain Site Characterization Project
Los Alamos National Laboratory
University of California
N-5, Mail Stop J521
P.O. Box 1663
Los Alamos, NM 87545

Richard E. Lowder, Technical Project Officer for
Yucca Mountain Site Characterization Project
MAC Technical Services Co.
The Valley Bank Center
101 Convention Center Drive
Phase II, Suite 1100
Las Vegas, NV 89109

ADDRESSEES

Page 3

Richard L. Bullock, Technical Project Officer for
Yucca Mountain Site Characterization Project
Raytheon Services Nevada
101 Convention Center Drive
Phase II, Suite P-250
M/S 403
Las Vegas, NV 89109

Robert F. Pritchett, Technical Project Officer for
Yucca Mountain Site Characterization Project
Reynolds Electric and Engineering Co., Inc.
P.O. Box 98521
Las Vegas, NV 89193-8521

Thomas E. Blejwas, Technical Project Officer for
Yucca Mountain Site Characterization Project
Sandia National Laboratory
P.O. Box 5800
Organization 6310
Albuquerque, NM 87185

John H. Nelson, Technical Project Officer for
Yucca Mountain Site Characterization Project
Science Applications International Corporation
The Valley Bank Center, Suite 407
101 Convention Center Drive
Las Vegas, NV 89109

Larry R. Hayes, Technical Project Officer for
Yucca Mountain Site Characterization Project
U.S. Geologic Survey
101 Convention Center Drive
Suite 860
Las Vegas, NV 89109