MINUTES OF THE JUNE 25, 1991, QUALITY ASSURANCE MEETING

A meeting of the staff of the U.S. Nuclear Regulatory Commission (NRC) and representatives of the U.S. Department of Energy (DOE) and the State of Nevada, to discuss items of mutual interest with regard to quality assurance (QA) was held at the NRC Headquarters, Rockville, Maryland on June 25, 1991. An attendance list is included as Attachment 1. No affected units of local governments attended this meeting. At the meeting, DOE presented information on the following six topics: (1) DOE Monitored Retrievable Storage (MRS) facility and transportation programs; (2) an update on audit/surveillance schedules; (3) Office of Civilian Radioactive Waste Management (OCRWM) Quality Concerns Program (QCP); (4) QA workshops; (5) status of Management and Operations contractor (M&O) QA program; and (6) status of OCRWM procedures consolidation. The NRC staff presented observation summaries of the Lawrence Livermore National Laboratory (LLNL) Surveillance (YMP-SR-91-013), the Sandia National Laboratories (SNL) Surveillance (YMP-SR-91-015), the Science Applications International Corporation (SAIC)/ Technical & Management Support Services (T&MSS) Surveillance (YMP-SR-91-017), and the Yucca Mountain Site Characterization Project Office (YMPO) Surveillance (YMP-SR-91-018). In addition, the NRC staff also presented the status of the QA Open Items.

DOE began by providing a presentation on the OCRWM MRS project (Attachment 2) and the OCRWM transportation program (Attachment 3). The MRS presentation addressed the relevant sections of the Nuclear Waste Policy Act, as amended (NWPA), purpose and function of the MRS, a description of the MRS, the MRS strategy, the MRS schedules and status, and the pertinent organizational charts. The transportation program presentation topics included transportation provisions of the NWPA, OCRWM transportation organizational chart, and the OCRWM transportation activities. DOE stated that the MRS and transportation program activities conducted at DOE/OCRWM will be under the auspices of the existing OCRWM QA documents and procedures.

Next, DOE presented the updated revisions of the DOE/YMPO audit and surveillance schedules (Attachment 4). The YMPO audit schedule, Revision 4 was dated June 19, 1991, and provided the audit number, dates of the audit, and the name of the audit team leader for each of the organizations on the 1991 audit schedule. The YMPO surveillance schedule, Revision 10, was dated June 20, 1991. DOE stated that the Criteria 18 surveillance for DOE Headquarters scheduled for September 2-6, 1991 will be moved up and completed sometime in July 1991. The DOE will notify the NRC of the surveillance date in the near future.

The next item on the agenda was a presentation by the DOE staff on the OCRWM QCP. The DOE showed a video which outlined the QCP. A copy of the QCP procedure is provided as Attachment 5. It was noted by DOE that the kick-off date for the QCP is July 1, 1991. DOE also stated that the QCP staff will report directly to the Director, Office of Quality Assurance. If quality concerns are raised with regard to the Office of Quality Assurance, resolution of these concerns will be directed by the Director, Office of Civilian Radioactive Waste Management. DOE agreed to provide an update on the QCP at the next DOE/NRC QA meeting.

The NRC staff then gave a presentation on its observations of the DOE/YMPO surveillances of LLNL (YMP-SR-91-013), SNL (YMP-SR-91-015), SAIC/T&MSS (YMP-SR-91-017), and YMPO (YMP-SR-91-018). Summaries of these observations are presented with this report as Attachments 6-9, respectively.

Next, the NRC staff gave a presentation of the status of QA Open Items (Attachment 10). The status of Open Item 3-90, "NNWSI Core Handling Procedures" remained unchanged from the January 18, 1991 and April 25, 1991 QA meetings, and the item is still open. DOE will look into completing these procedures and submitting them to NRC for review. For Open Items 4-90, 12-90, and 1-91, DOE indicated it will prepare documentation pertaining to the acceptance of the Raytheon Services Nevada, SAIC/T&MSS, and OCRWM QA program documents for submittal to NRC. NRC stated that Open Item 8-90, "SCA Comments," is in the final stage of NRC management review. Open Item 10.d concerning the NRC observations for the SNL audit was closed. This includes an issue about the lack of a DOE program to address allegations concerning quality. This issue has been addressed with issuance of QAAP 1.2, "OCRWM Quality Concerns Program," dated July 1, 1991.

DOE then gave an update on its QA workshops. In addition to the summaries of the Scientific, Software, and QA Grading Workshops presented in Attachment 11, DOE stated that the data issue is still being investigated. DOE has not yet determined if a workshop is required on what constitutes data.

Following the discussion on its workshops, DOE presented the status of the M&O QA program. DOE has completed its review of the M&O Quality Assurance Program Description (QAPD). A letter accepting the QAPD, with the exception of the Software Quality Assurance (SQA) Plan will be transmitted to the M&O as soon as DOE reviews and accepts the Transition Plan. DOE stated that a copy of the QAPD will be sent to the NRC for review and comment. However, the NRC will not be involved in the acceptance of the M&O QAPD. DOE also stated that the MRS design which will be done by the M&O will be considered quality affecting and will be done under the M&O QAPD. During this discussion the NRC staff noted that changes to the participants Quality Assurance Administrative Procedures (QAAP) have not been received by the NRC on a regular basis. The DOE has agreed to follow-up on this issue to assure that the NRC receives information copies of all QAAP changes in the future.

DOE then provided a presentation on the status of the OCRWM Procedures Consolidation effort (Attachment 12). Page one of this attachment provides the schedule for Phase 1 of the effort. It was noted by DOE that consolidation is currently on schedule. DOE also provided the schedule for development of the Quality Assurance Requirements & Policies (QARP).

The final topic for discussion was a presentation of items of concern to the State of Nevada. The State of Nevada Representative raised the following points:

1. Some mechanism should be established to determine which items and activities are quality affecting and which are not. The State believes there is some confusion over the definition of quality affecting. The State recommends dropping the term "quality affecting" since the grading process makes this determination.

2. The State asked when there would be a tentative schedule for the FY 92 mini-audits. The DOE replied that a schedule would be provided sometime before the end of July. The State requested a copy of the schedule as soon as possible.

3. The State would like to be put on distribution for SNL QA and technical procedures, and for technical procedures from the U.S. Geological Survey (USGS) and LLNL. The DOE agreed to the State's request.

4. The State asked the DOE to provide a summary of results from the SQA and Grading Workshops. The DOE agreed to provide these summaries at the next NRC/DOE QA Meeting.

5. The State requested a status report on the NRC audit of the USGS. The NRC stated that DOE had sent a letter to the NRC stating that it could not support the audit until at least September 1991.

The NRC then invited closing remarks from the meeting participants. A tentative date of August 29, 1991, was noted for the next DOE/NRC QA meeting. The meeting was then adjourned.

John T. Buckley 7/16/91

John T. Buckley
Repository Licensing and Quality
Assurance Project Directorate
Division of High-Level Waste Management
Office of Nuclear Material Safety
and Safeguards
U. S. Nuclear Regulatory Commission

Sharon L. Skuchko 7/18/91

Sharon L. Skuchko
Repository Licensing Branch
Office of Civilian Radioactive
Waste Management
U. S. Department of Energy

MONITORED RETRIEVABLE STORAGE

(MRS Project)

Presented to the NRC/QA
on June 25, 1991 by
DOE/OCRWM/RW-422

Attachment 2

TOPICS FOR DISCUSSION

- NUCLEAR WASTE POLICY ACT, AS AMENDED.
- PURPOSE AND FUNCTION OF AN MRS FACILITY
- DESCRIPTION OF MRS
- MRS STRATEGY
- SCHEDULES
  - MRS KEY ASSUMPTIONS
  - OCRWM PROGRAM BASELINE SCHEDULE
  - MRS BASELINE SCHEDULE
- STATUS
- ORGANIZATION CHARTS
  - OCRWM
  - OFFICE OF STORAGE AND TRANSPORTATION

NUCLEAR WASTE POLICY ACT, AS AMENDED (DECEMBER 22, 1987)

- SECTION 142(b) OF THE NWPA, AS AMENDED, AUTHORIZES ONE MRS FACILITY, WHICH WILL BECOME AN INTEGRAL COMPONENT OF THE FEDERAL WASTE MANAGEMENT SYSTEM.

- DOE IS AUTHORIZED TO SITE, CONSTRUCT, AND OPERATE AN MRS, SUBJECT TO SPECIAL CONDITIONS:

  CAPACITY
  - 10,000 MTU, PRIOR TO START OF REPOSITORY
  - 15,000 MTU, WHEN REPOSITORY IS OPERATING

  SCHEDULE
  - NO CONSTRUCTION OF MRS UNTIL NRC ISSUES LICENSE FOR CONSTRUCTION OF REPOSITORY
  - MRS MUST CEASE OPERATIONS IF REPOSITORY CEASES OPERATION

- ESTABLISHES THE OFFICE OF THE NUCLEAR WASTE NEGOTIATOR TO:

  - SITE THE MRS FACILITY (OR A REPOSITORY)
  - PRODUCE A NEGOTIATED AGREEMENT WITH VOLUNTEER HOST FOR SUBMISSION TO CONGRESS

PURPOSE AND FUNCTION OF AN MRS FACILITY

- PROVIDES ORDERLY TRANSFER OF SPENT FUEL INTO THE FEDERAL WASTE MANAGEMENT SYSTEM.
- PROVIDES ABOVE GROUND BUFFER STORAGE.
- PROVIDES CENTRAL STORAGE AREA FOR SHIPMENTS TO THE REPOSITORY.
- INCREASES EFFICIENCY BY USING LARGER CAPACITY CASKS FROM MRS TO REPOSITORY.
- REDUCES THE NEED FOR ADDITIONAL STORAGE AT REACTORS.
- PROVIDES ON SITE FACILITY FOR MAINTAINING TRANSPORTATION CASKS FLEET.

DESCRIPTION OF MRS

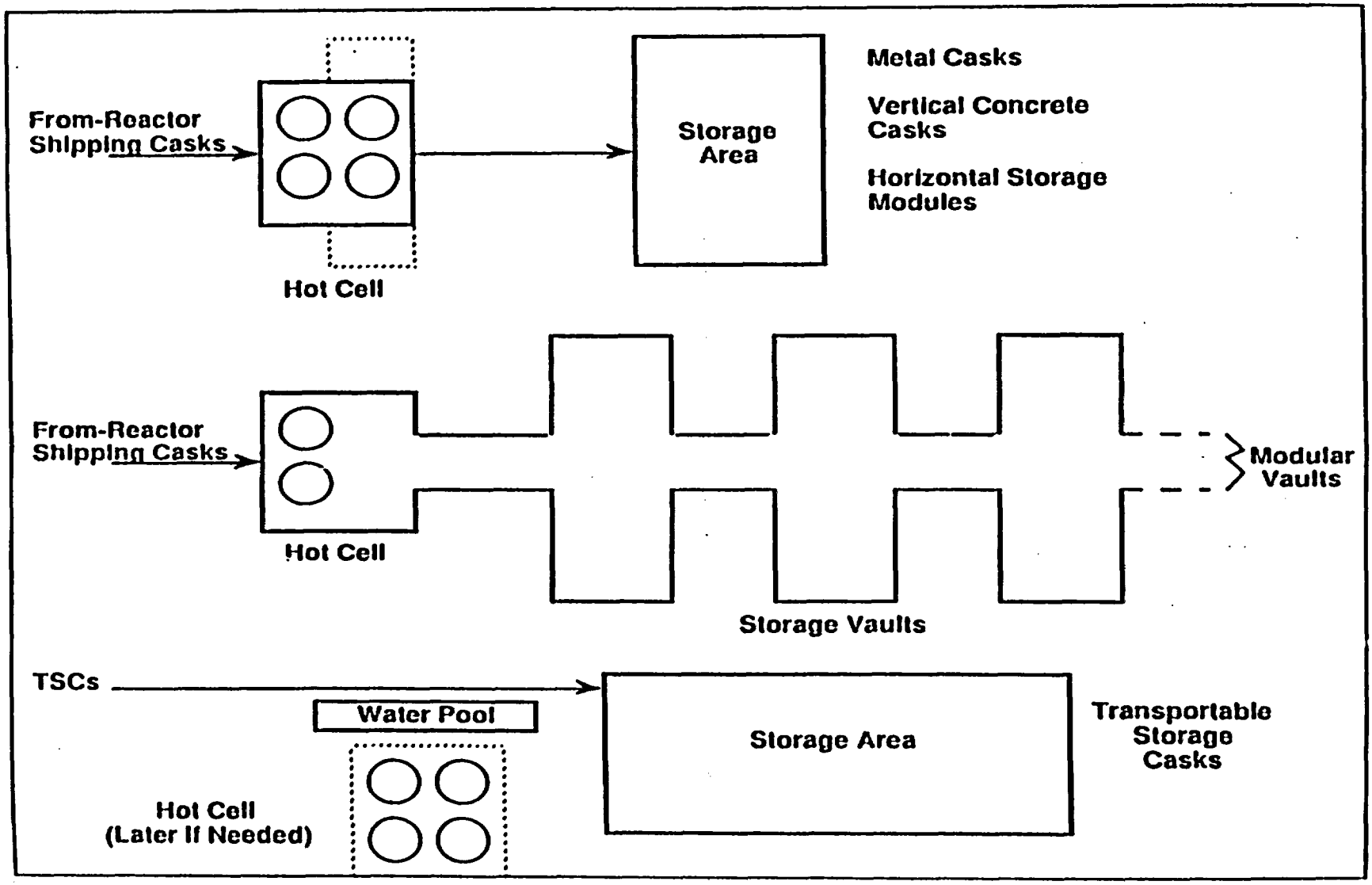
- WILL UTILIZE DRY STORAGE TECHNOLOGY, SUCH AS CONCRETE CASKS, METAL CASKS, MULTIPLE ELEMENT SEALED CANISTER, MODULAR VAULT DRY STORAGE OR DUAL PURPOSE TRANSPORTABLE STORAGE CASKS.

- INCLUDES A "HOT CELL" CONCEPT FOR DRY TRANSFER OF SPENT FUEL.

- BALANCE OF PLANT INCLUDES RADIATION MONITORING CAPABILITIES, SECURITY, SAFEGUARDS, MAINTENANCE SHOP, HEALTH PROTECTION, ADMINISTRATIVE SERVICES, AND OTHER FUNCTIONAL REQUIREMENTS.

- REQUIRES ABOUT 450 ACRES. THE CONTROLLED AREA IS A SMALL PART OF THIS SPACE REQUIREMENT.

CONCEPTUAL LAYOUT OF MRS



MRS STRATEGY

SITING

RELY ON THE NEGOTIATOR TO SITE THE MRS

ESTABLISH A CONTINGENCY PLAN, AND IMPLEMENT THE PLAN IF SITING BY THE NEGOTIATOR IS UNSUCCESSFUL

DE-LINK MRS FROM REPOSITORY SCHEDULE CONSTRAINTS

CONFIGURATION

DELAY FINAL SELECTION OF MRS CONFIGURATION UNTIL CONCEPTUAL DESIGN IS COMPLETE

TRANSPORTATION

DEVELOP CASKS AT A SCHEDULE THAT SUPPORTS WASTE ACCEPTANCE AT THE MRS IN 1998

USE ONLY CASKS THAT ARE CERTIFIED BY THE NRC

USE PRIVATE INDUSTRY TO THE FULLEST EXTENT POSSIBLE

LICENSING

USE ALREADY LICENSED AND/OR EASILY LICENSABLE TECHNOLOGIES FOR THE MRS

COMMIT TO EARLY AND CONTINUED INTERACTIONS WITH THE NRC

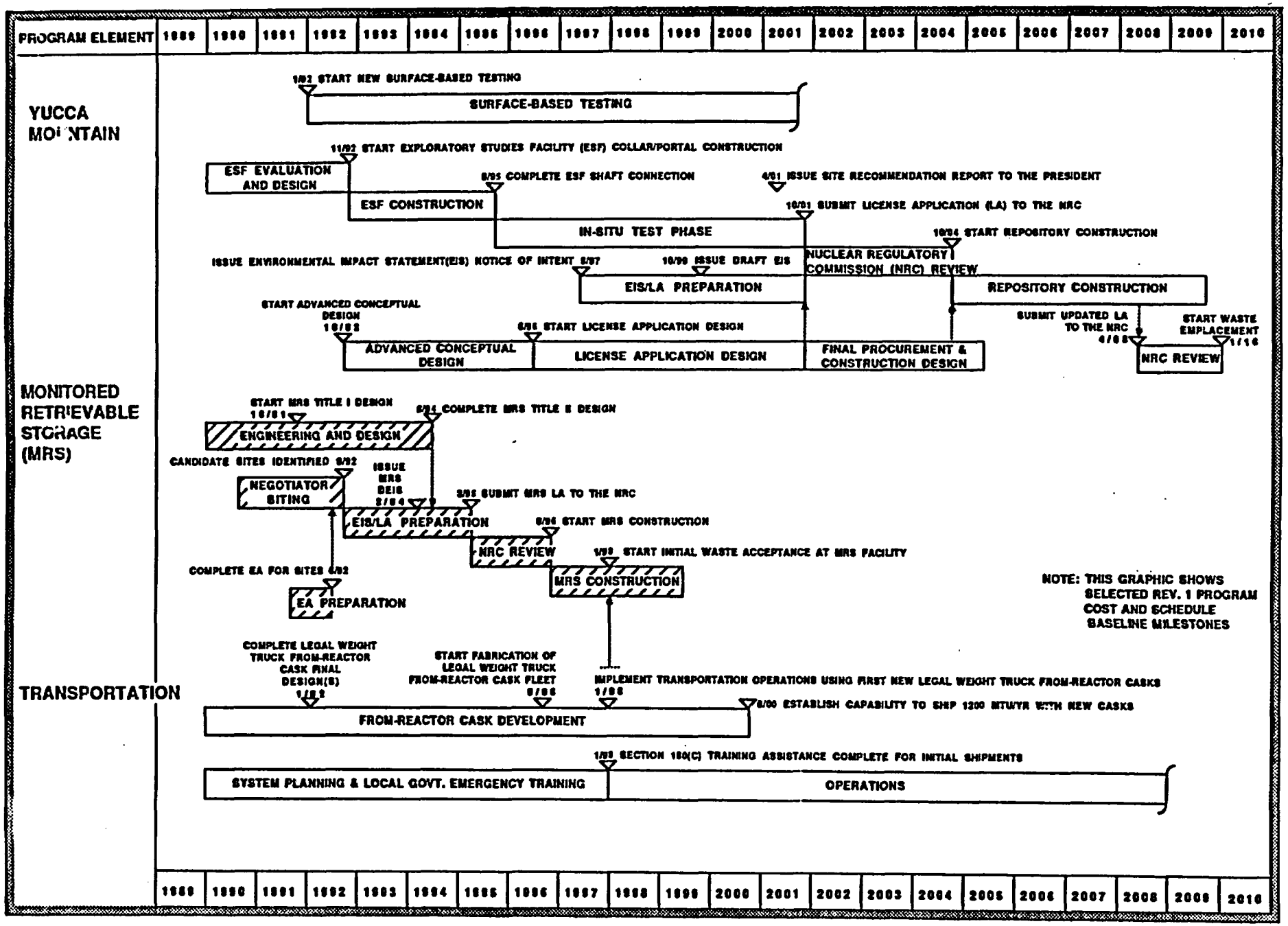
SCHEDULES

- MRS KEY ASSUMPTIONS
- OCRWM PROGRAM BASELINE SCHEDULE
- MRS BASELINE SCHEDULE

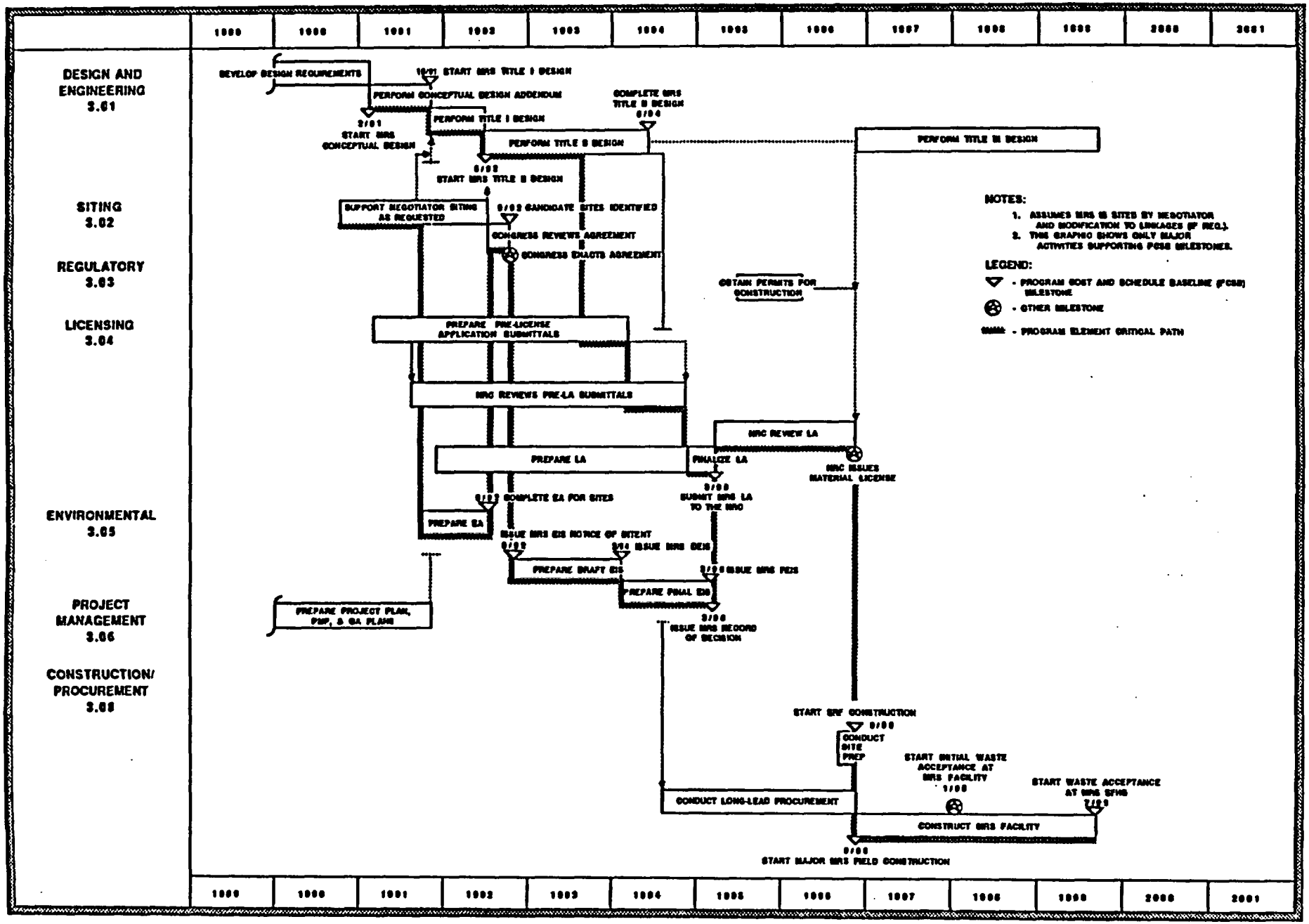
MRS KEY ASSUMPTIONS

- A SITE IS OBTAINED THROUGH THE EFFORTS OF THE NEGOTIATOR
- FACILITY IS DE-LINKED FROM REPOSITORY, THROUGH ENACTMENT OF AGREEMENT BY CONGRESS
- THE MRS IS A STORE-ONLY FACILITY
- DOE USES PROVEN OR READILY LICENSABLE TECHNOLOGIES
- FUEL RECEIPT STARTS IN JANUARY 1998
- THE RATE OF WASTE ACCEPTANCE INCREASES OVER A FIVE YEAR PERIOD TO A MAXIMUM OF 3000 MTU/YR IN 2003
- THE STORAGE TECHNOLOGY WILL NOT BE SELECTED UNTIL CONCEPTUAL DESIGN IS COMPLETED
- CASK MAINTENANCE FACILITY IS CO-LOCATED AT THE MRS SITE.

OCRWM PROGRAM BASELINE SCHEDULE



MRS BASELINE SCHEDULE



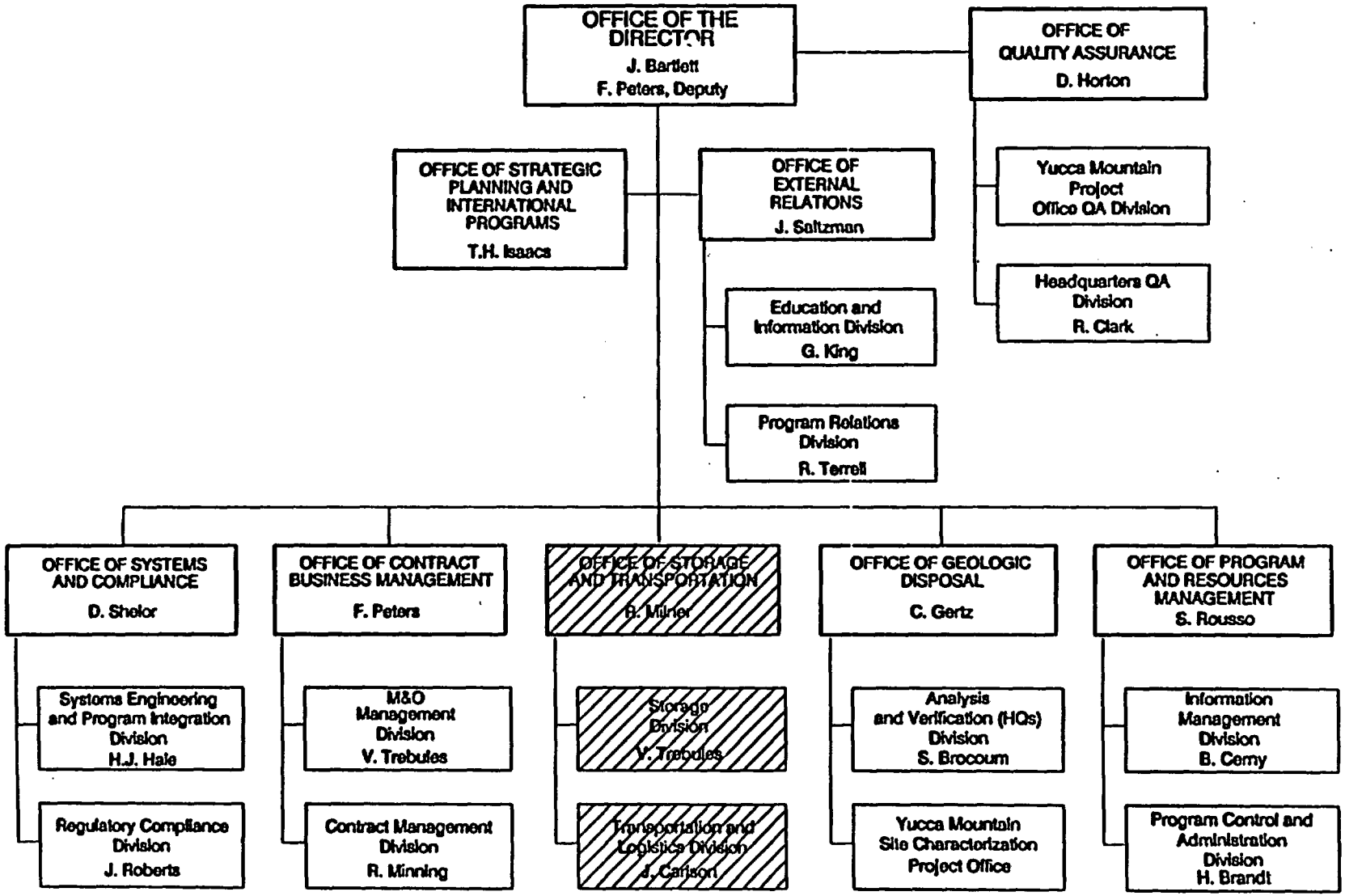
MRS STATUS

- NUCLEAR WASTE NEGOTIATOR APPOINTED, AUGUST 1990
- OCRWM QA PROGRAM APPROVED THROUGH DOE AND NRC
- NATIONAL ENERGY STRATEGY PROPOSES TO DE-LINK MRS FROM REPOSITORY SCHEDULE CONSTRAINTS
- REVISED BASELINES ESTABLISHED, MARCH 1991
- MANAGEMENT & OPERATING (M&O) CONTRACTOR STARTED APRIL 1991
- CONCEPTUAL DESIGN IN PROGRESS
- ENVIRONMENTAL ASSESSMENT AND LICENSING APPLICATION PLANS DRAFTED
- NOTICE OF AVAILABILITY OF FEASIBILITY GRANTS FOR AFFECTED SITES PUBLISHED, JUNE 1991
- THE 70% DESIGN REVIEWS FOR BOTH THE TRUCK MOUNTED AND RAIL MOUNTED CASKS HAVE BEEN COMPLETED
- FIXED PRICE BIDS FOR PROCUREMENT OF DRY STORAGE MODULES DUE FROM VENDORS IN OCTOBER 1991

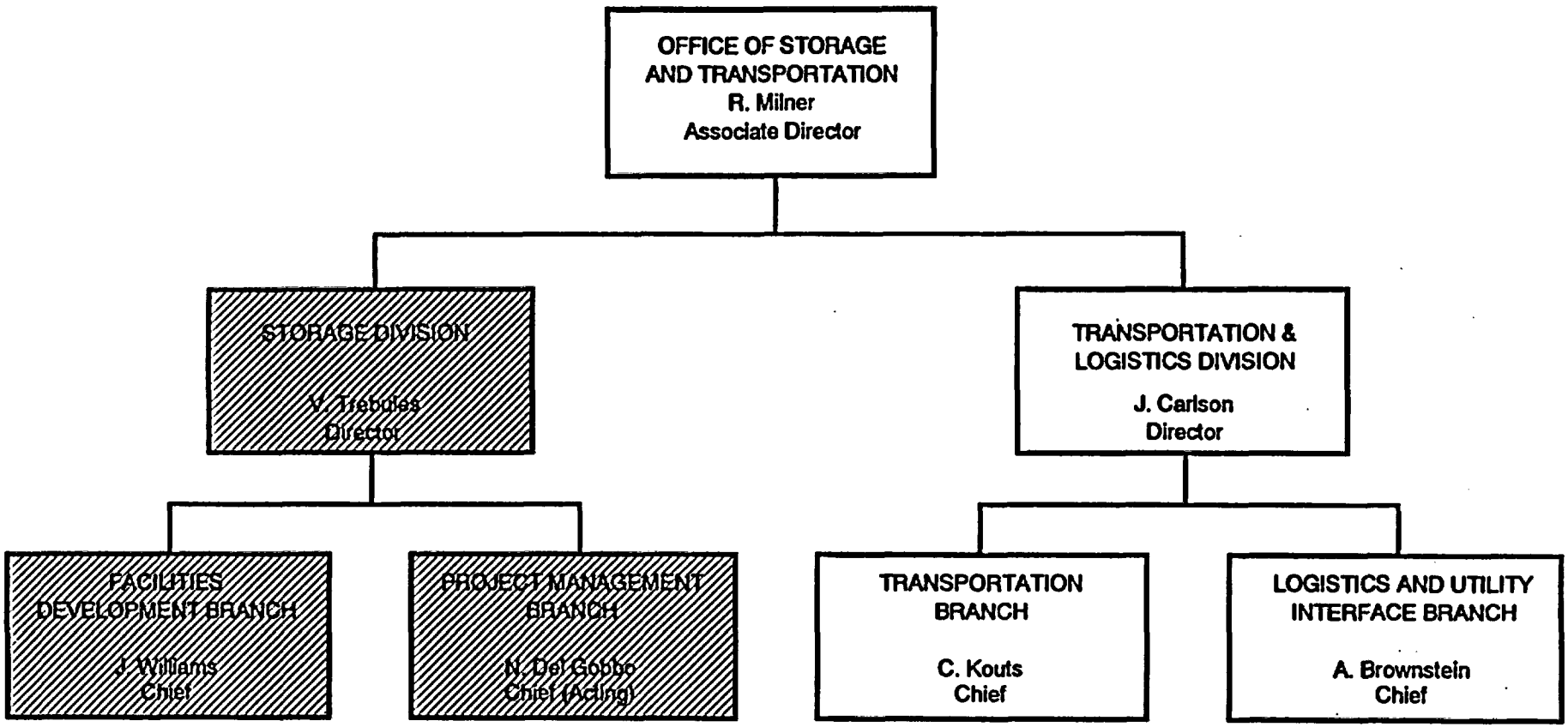
ORGANIZATIONAL CHARTS

- OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT
- OFFICE OF STORAGE AND TRANSPORTATION

OCRWM ORGANIZATION



0ST ORGANIZATION



- W. Probst / Siting
- L. Stewart / Engineering Development
- Vacant / Nuclear Engineer
- Vacant / General Engineer (2)
- J. Viahakis / Cost & Schedule
- S. Rossi / Licensing & Regulatory
- J. Jones / Environmental & QA
- Vacant / Project Engineer

UPDATE ON
OCRWM TRANSPORTATION PROGRAM

Christopher A. Kouts
Chief,Transportation Branch
OCRWM, U.S. DOE

NRC/DOE Meeting on Quality Assurance

June 25, 1991
Rockville, Maryland

Attachment 3

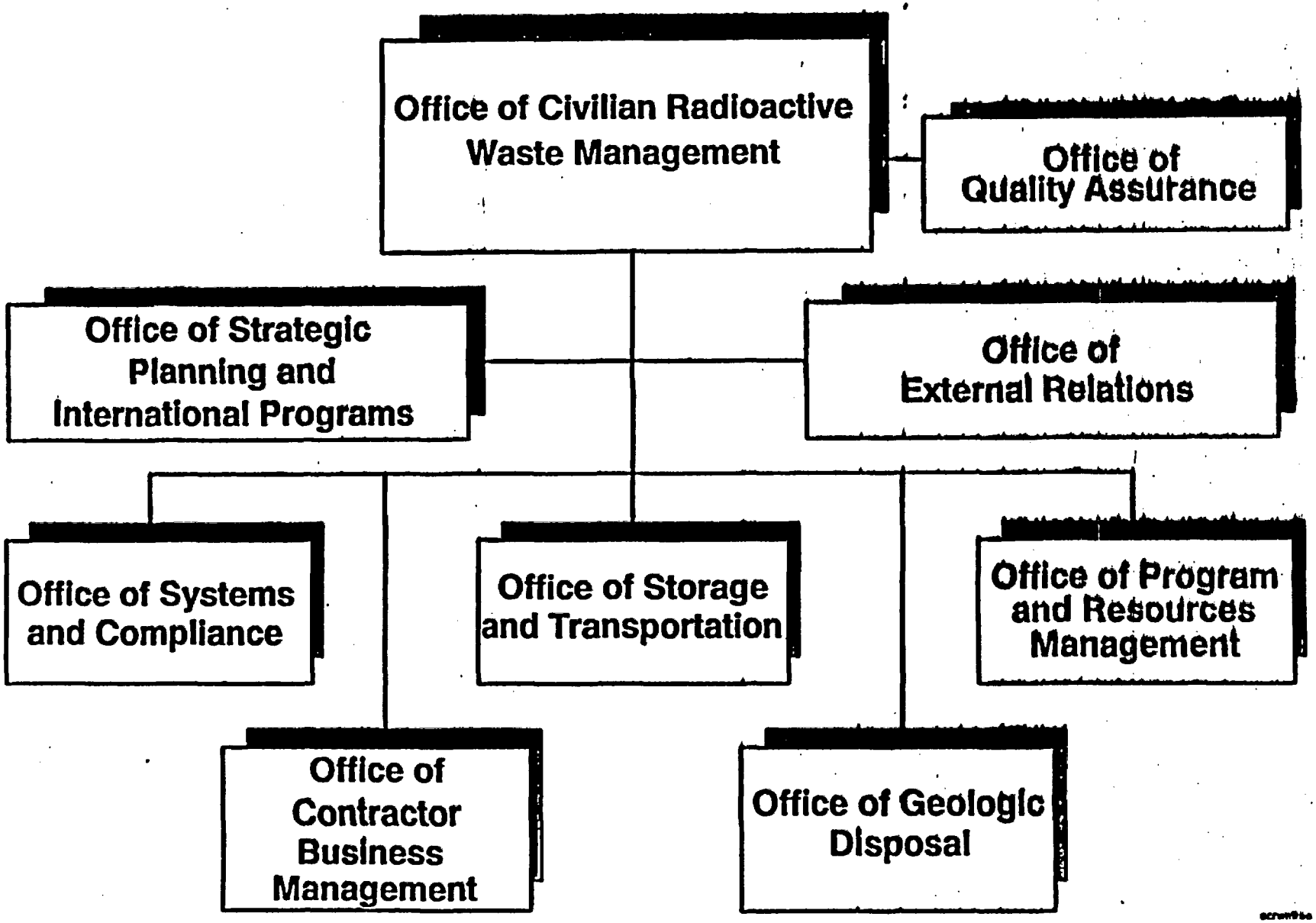
TRANSPORTATION PROVISIONS OF THE NUCLEAR WASTE POLICY ACT

- DOE RESPONSIBLE FOR TRANSPORTATION OF SNF/HLW
- DOE TAKES TITLE AT REACTOR (SHIPPER OF RECORD)
- PRIVATE SECTOR TO BE USED TO "FULLEST EXTENT POSSIBLE"
- COST OF TRANSPORTATION TO BE COVERED BY WASTE FUND

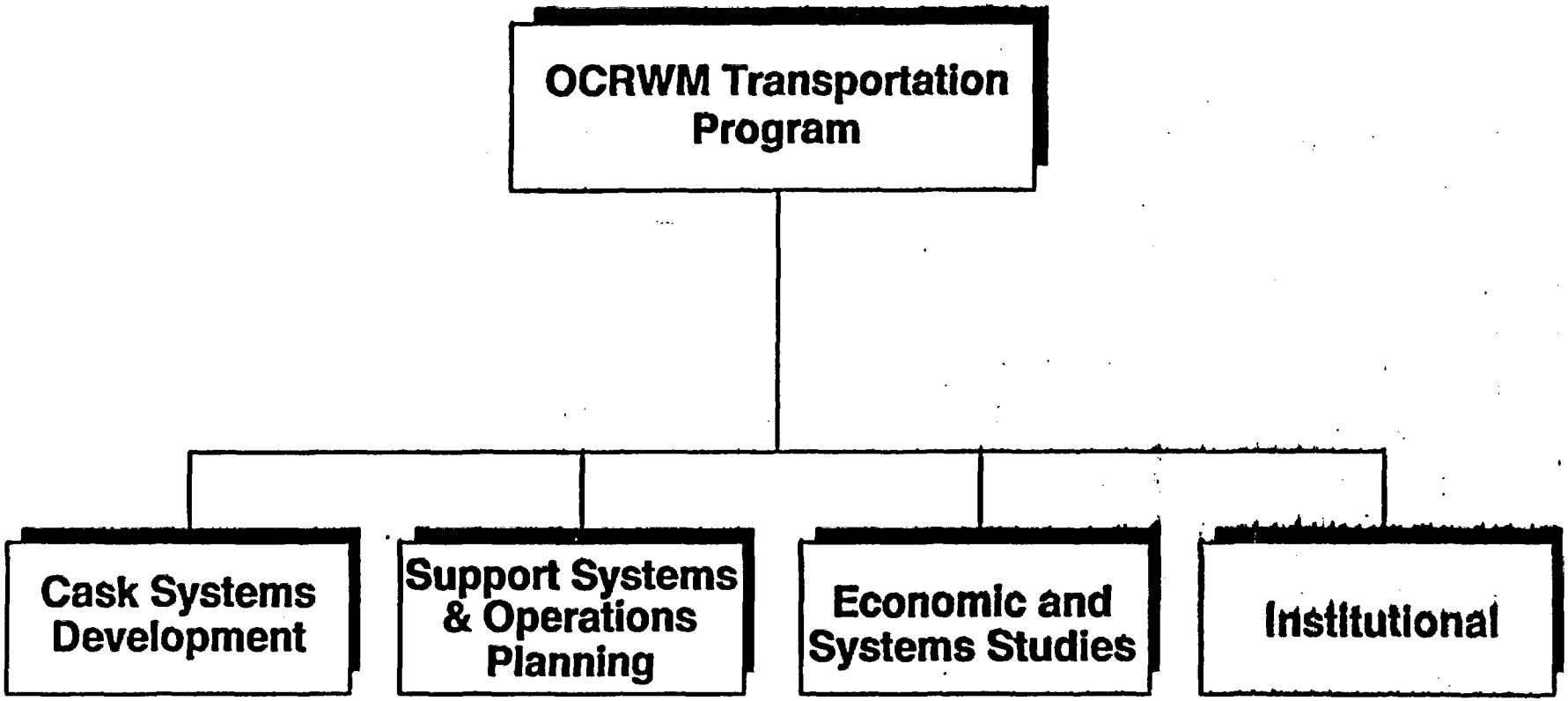
TRANSPORTATION PROVISIONS OF THE NUCLEAR WASTE POLICY AMENDMENTS ACT OF 1987

- SECTION 180 (A) - USE NRC CERTIFIED TRANSPORTATION PACKAGES
- SECTION 180 (B) - PRENOTIFY STATE/LOCAL GOVERNMENTS UNDER NRC REGULATIONS
- SECTION 180 (C) - PROVIDE TECHNICAL ASSISTANCE AND FUNDING TO STATES FOR THE TRAINING OF LOCAL GOVERNMENTS & INDIAN TRIBES ON SAFE ROUTINE TRANSPORTATION & EMERGENCY SITUATIONS

Office of Civilian Radioactive Waste Management



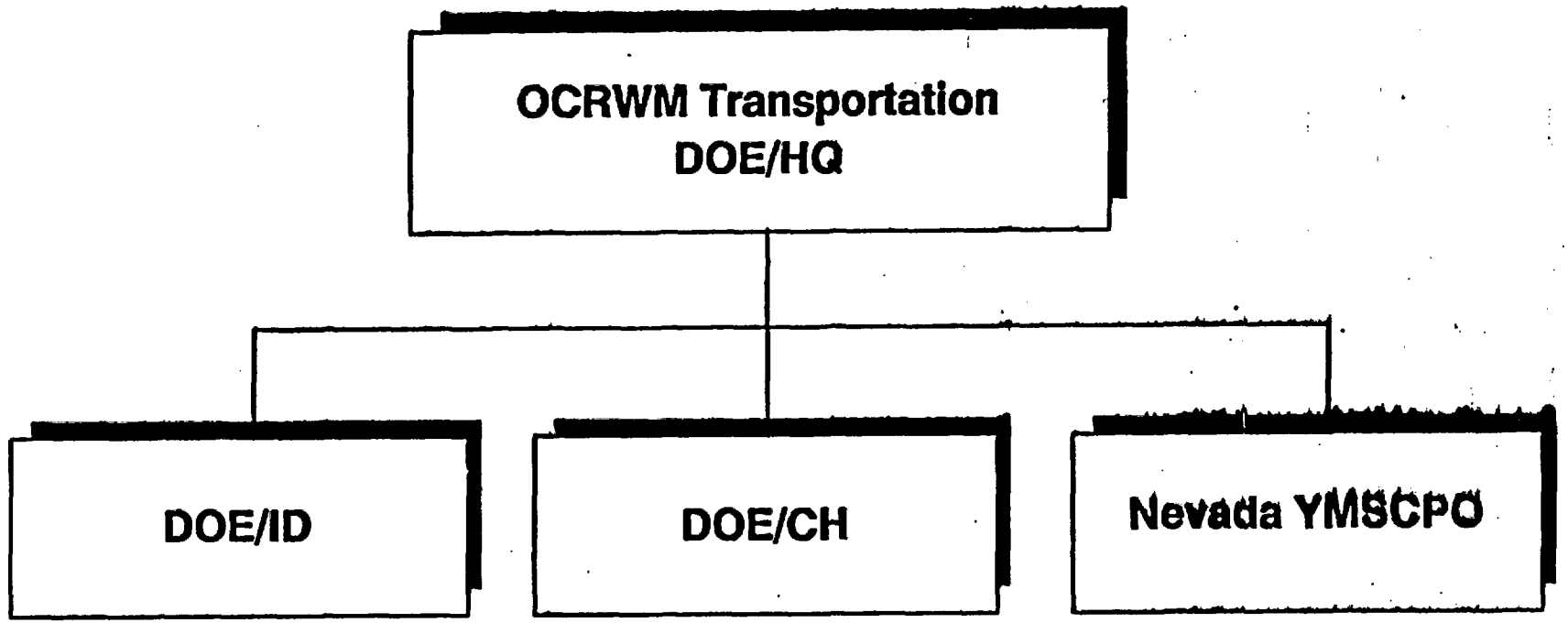
OCRWM Transportation Activities Fall Into Four Major Areas



UPDATE ON OCRWM ACTIVITIES
M & O CONTRACTOR

- TRW ENVIRONMENTAL SAFETY SYSTEMS (TESS) WAS AWARDED A 10-YEAR CONTRACT ON FEBRUARY 13, 1991
- THE TESS TEAM INCLUDES BABCOCK & WILCOX, DUKE ENGINEERING, FLUOR DANIEL, INTERA, MORRISON-KNUDSEN, WOODWARD-CLYDE CONSULTANTS, RDA, E.R. JOHNSON ASSOCIATES, AND J.K. RESEARCH ASSOCIATES
- TO INSURE PROGRAM CONTINUITY, TRANSITION BETWEEN CURRENT CONTRACTORS AND THE M & O CONTRACTOR WILL TAKE PLACE OVER THE NEXT 18 MONTHS

Current Transportation Organization

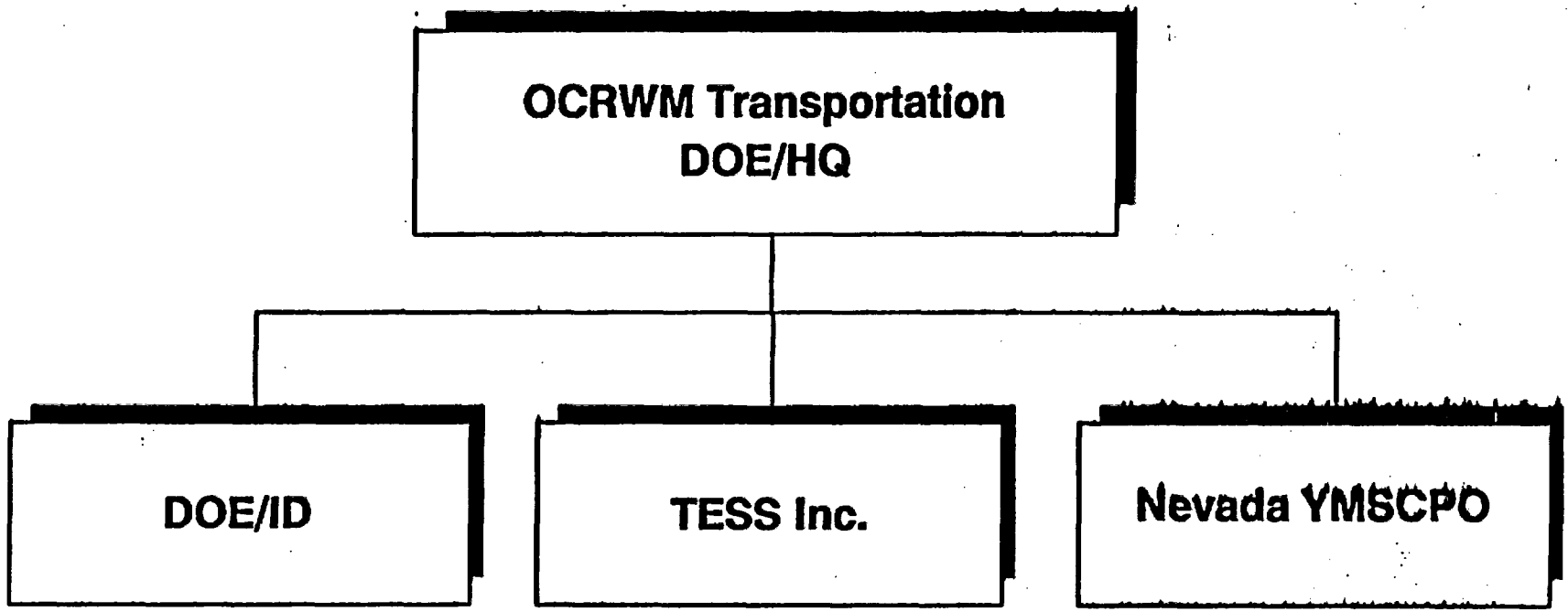


- Cask Systems Development

- Institutional Activities
- Economic & Systems Studies
- Support Systems & Operational Planning

- Yucca Mt. Transportation Studies

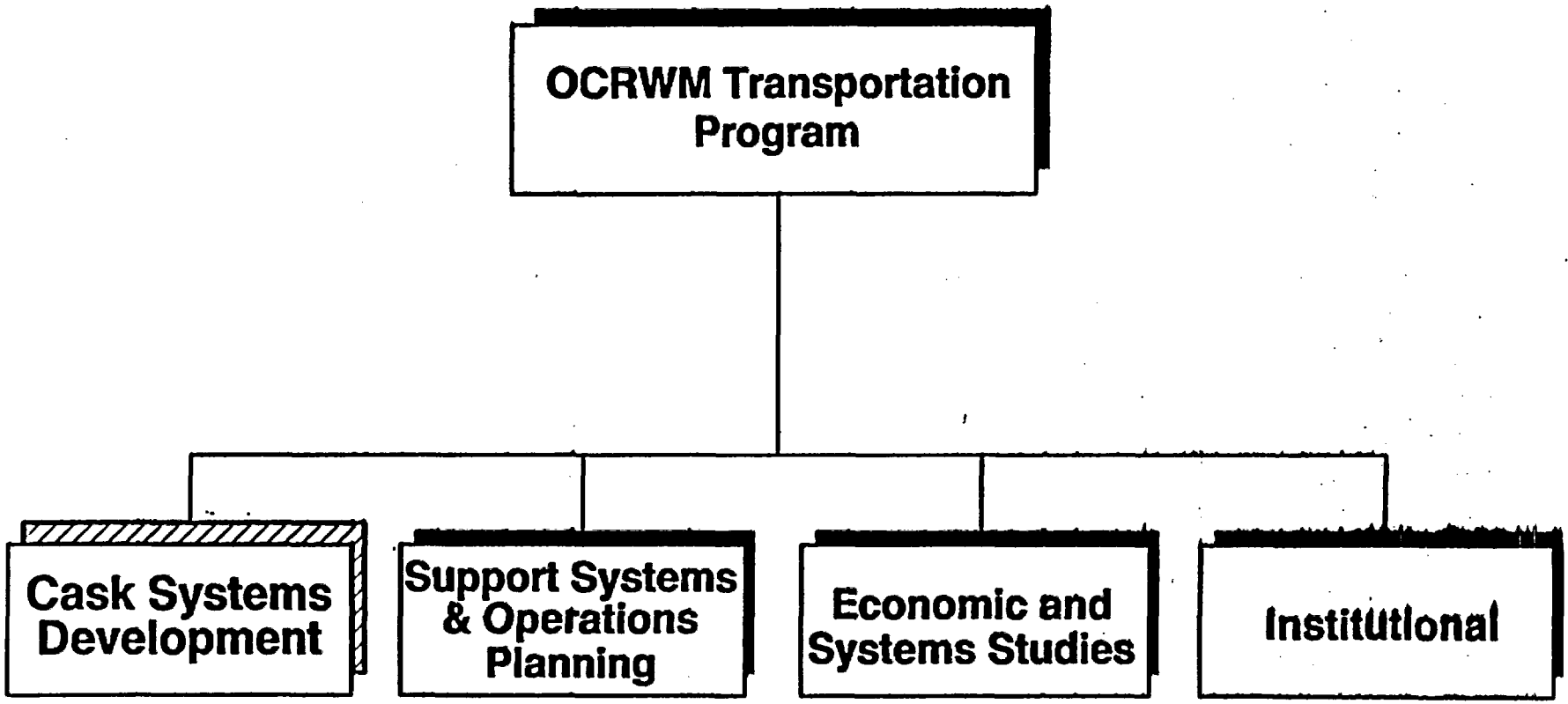
M & O Contract Integration



- Cask Systems Development

- Institutional Activities
- Economic & Systems Studies
- Support Systems & Operational Planning

- Yucca Mt. Transportation Studies


OCRWM Transportation Program
Cask Systems Development
Support Systems & Operations Planning
Economic and Systems Studies
Institutional

CASK DESIGN AND DEVELOPMENT ACTIVITIES

- INITIATIVE I - CASKS FOR SNF FROM REACTORS TO MRS
- INITIATIVE II - CASKS FOR SNF FROM MRS TO REPOSITORY
- INITIATIVE III - CASKS FOR NONSTANDARD SNF
- INITIATIVE IV - CASKS FOR HIGH LEVEL WASTE

EXISTING vs. OCRWM CASK CAPACITIES

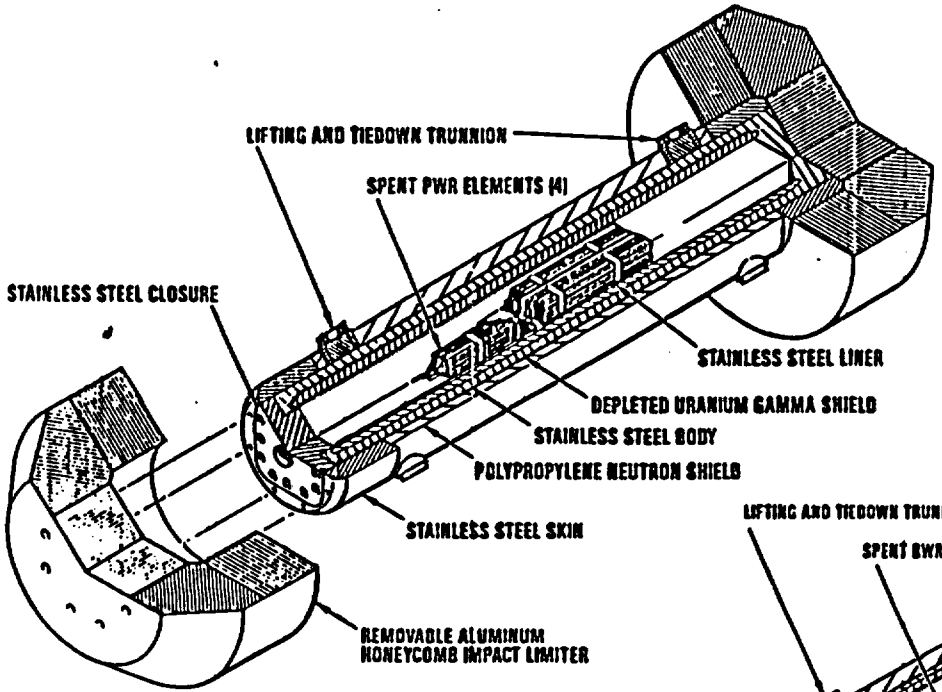
	PWR	BWR	MODE
• EXISTING CASKS			
NLI 1/2	1	2	LWT
NAC-LWT	1	2	LWT
TN-8/TN-9	3	9	OWT
IF-300	7	18	RAIL
• OCRWM CASKS			
GA-4/GA-9	4	9	LWT
BR-100	21	52	RAIL/BARGE

UPDATE ON THE CASK PROGRAM

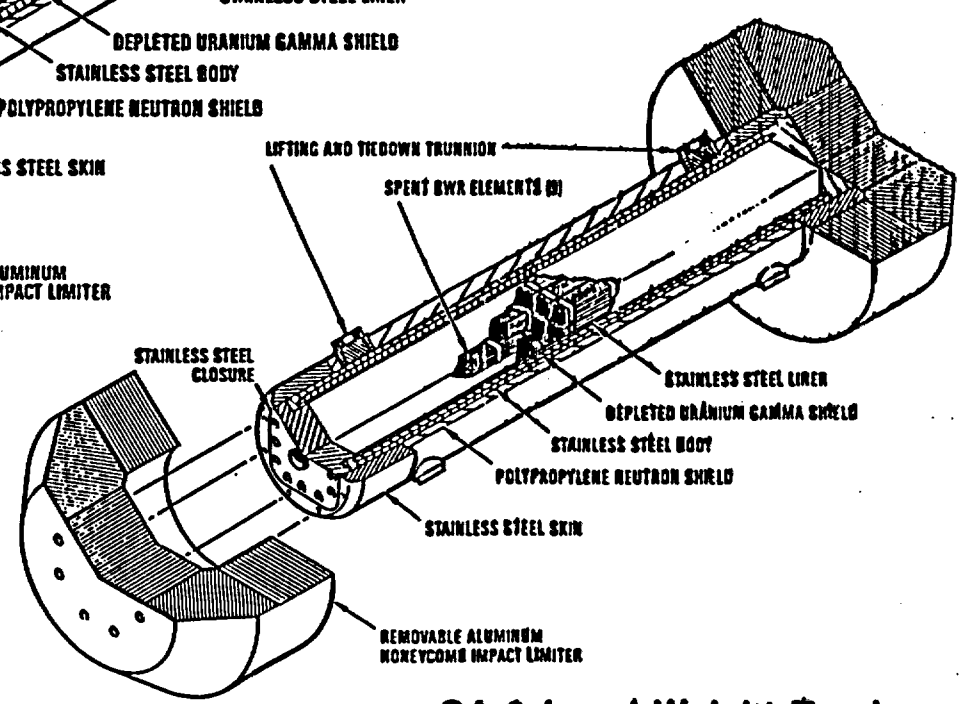
- TWO CONTRACTS ARE PROCEEDING THROUGH FINAL DESIGN
  - LEGAL-WEIGHT TRUCK - GENERAL ATOMICS
  - RAIL/BARGE - BABCOCK AND WILCOX
- TWO CONTRACTS CONCENTRATING ON INNOVATIVE FEATURES
  - LEGAL-WEIGHT TRUCK - WESTINGHOUSE
  - RAIL/BARGE - NUCLEAR ASSURANCE CORP.

THE GA LEGAL WEIGHT TRUCK CASK DESIGN

- GA-4 DESIGNED TO HOLD 4 PWR ASSEMBLIES AND GA-9 DESIGNED TO HOLD 9 BWR ASSEMBLIES
- CAPACITY 4 TO 4 1/2 TIMES HIGHER THAN EXISTING CASKS
- NO MAJOR CHANGES IN DESIGN SINCE PRELIMINARY DESIGN REPORT
- PROCUREMENT OF 1/2 SCALE CASK MODEL INITIATED
- STAINLESS STEEL STRUCTURES
- DEPLETED URANIUM FOR GAMMA SHIELDING
- SOLID BORATED POLYPROPYLENE FOR NEUTRON SHIELDING



GA-4 Legal Weight Truck Shipping Cask



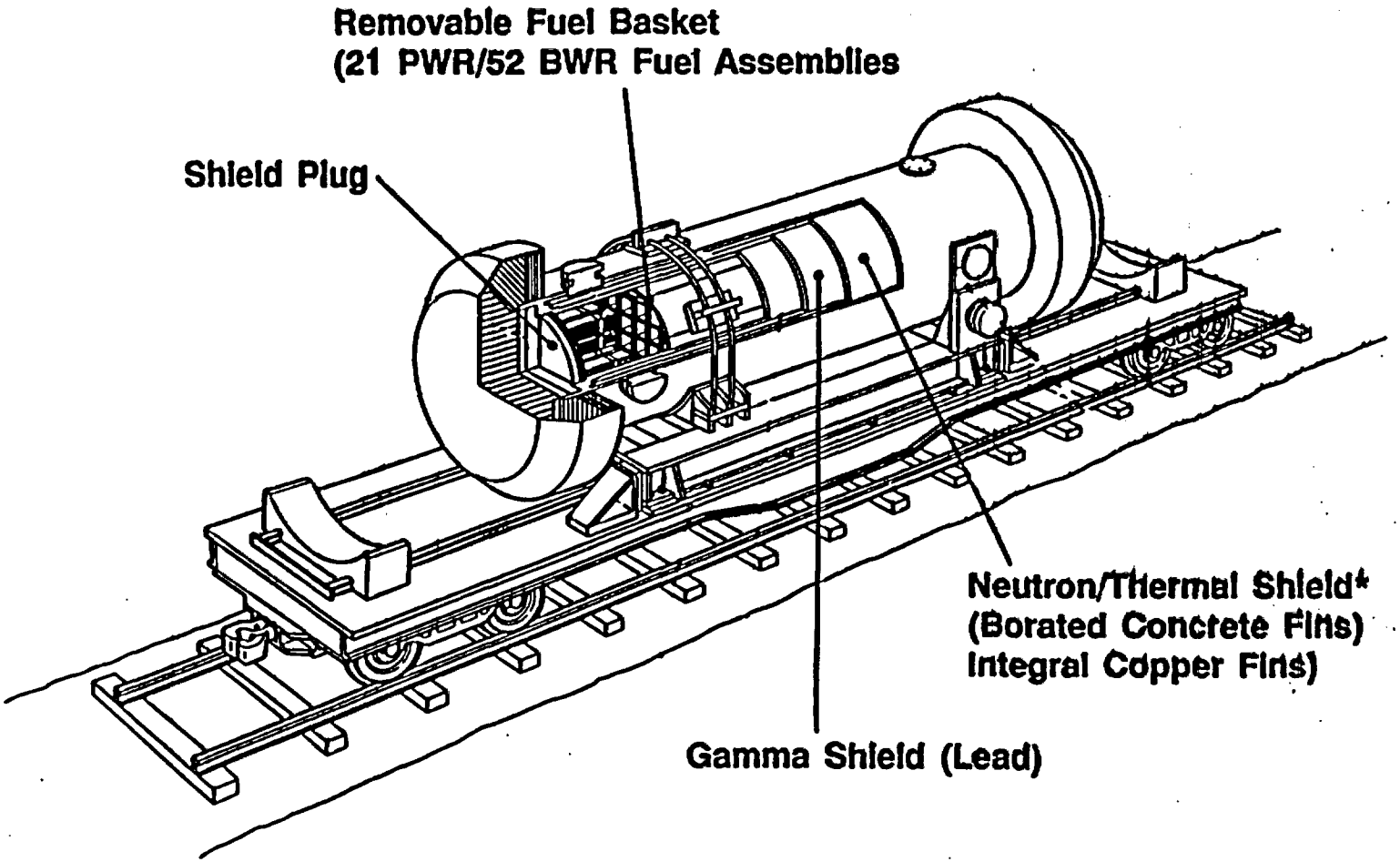
GA-9 Legal Weight Truck Shipping Cask

BABCOCK & WILCOX CASK DESIGN

- FUEL BASKET DESIGN - CHANGE IN FUEL CELLS MATERIALS: STAINLESS STEEL/COPPER/BORAL WITHOUT FLUX TRAPS
- CASK BODY - CHANGE IN STEEL MATERIALS: STAINLESS STEEL XM-19
- INCREASE PWR BURNUP CREDIT TO 28 GWD/MTU
- CAPACITY OF 21 PWR ASSEMBLIES OR 52 BWR ASSEMBLIES

  PAYLOAD IS HIGHER THAN EXISTING RAIL CASKS BY ALMOST A FACTOR OF 3
- CIRCULAR CROSS SECTION
- LEAD FOR GAMMA SHIELDING

Babcock & Wilcox Br-100 100 Ton Rail/Barge Cask



HIGHLIGHTS OF RECENT CASK SYSTEMS DEVELOPMENT ACTIVITIES

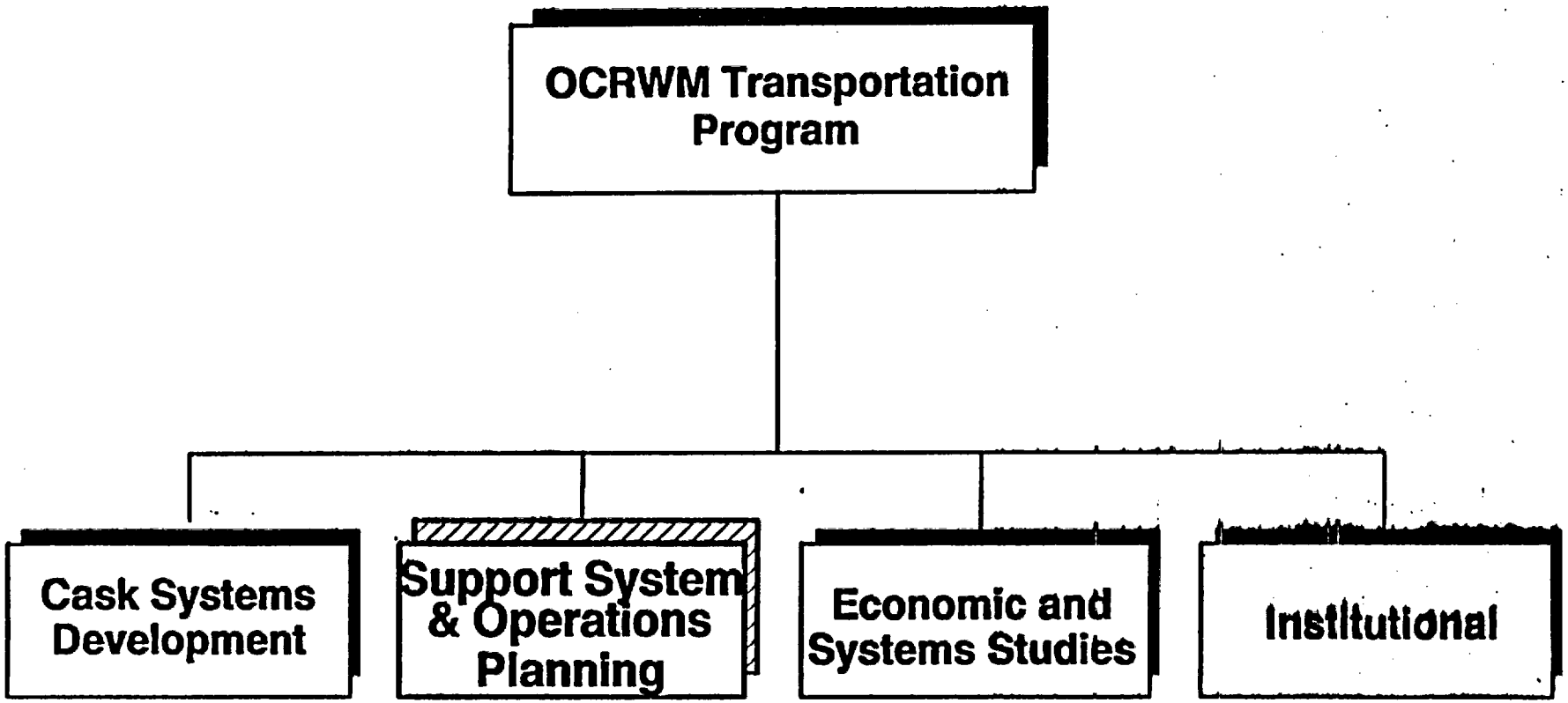
- GENERAL ATOMICS
  - MET WITH NRC IN JULY 1990 AND FEBRUARY 1991 TO DISCUSS CASK FABRICATION AND BURNUP CREDIT FOR GA-4 CASK
  - 70% - COMPLETED DESIGN REVIEWED IN DECEMBER 1990
- BABCOCK & WILCOX
  - MET WITH NRC ON FOUR OCCASIONS SINCE JULY 1990 TO DISCUSS BURNUP CREDIT, STRUCTURAL ANALYSIS, IMPACT LIMITER DESIGN, AND THERMAL ANALYSIS FOR BR-100 CASK
  - 70% - COMPLETED DESIGN REVIEWED IN APRIL 1991

HIGHLIGHTS OF RECENT CASK SYSTEMS DEVELOPMENT ACTIVITIES (CONT)

- WESTINGHOUSE
  - -- TITANIUM ALLOY APPROVED BY ASME CODE COMMITTEE
  - -- MET WITH NRC TO DISCUSS USE OF THE TITANIUM ALLOY AS A MATERIAL FOR CASK CONSTRUCTION
- NAC
  - -- MET WITH NRC TO DISCUSS THE "WEDGE LOC" CONTAINMENT CLOSURE MECHANISM

TECHNICAL ISSUES RESOLUTION

- BURNUP CREDIT
  - -- CREDIT FOR REDUCED REACTIVITY OF SPENT FUEL
- SOURCE TERM EVALUATION
  - -- DEVELOP A CONSISTENT AND TECHNICALLY DEFENSIBLE APPROACH TO DEMONSTRATING ADEQUATE CONTAINMENT
- WEEPING/SURFACE CONTAMINATION
  - -- CAUSES, PREVENTION, AND CORRECTION SOUGHT
- PERFORMING CLOSURE SEAL PERFORMANCE TESTS

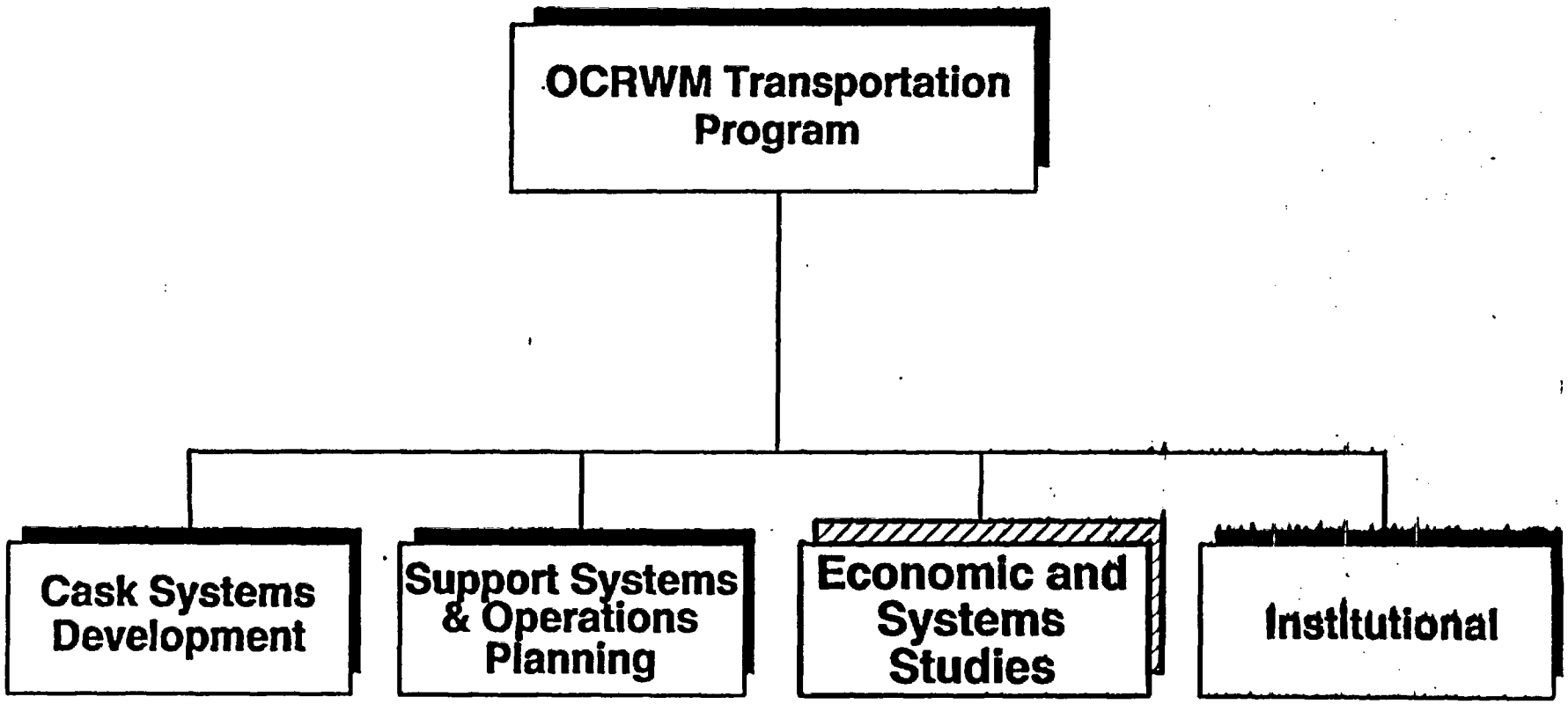

OCRWM Transportation Program
Cask Systems Development
Support System & Operations Planning
Economic and Systems Studies
Institutional

SUPPORT SYSTEM & OPERATIONS PLANNING ACTIVITIES

- PERFORMING FUNCTIONAL ANALYSIS OF TRANSPORTATION OPERATIONS SYSTEM
- EVALUATING TRANSPORTATION IMPACTS OF STANDARD CONTRACT WITH WASTE GENERATORS
- ANALYZING EXISTING COMMERCIAL CASK FLEET TO SUPPLEMENT OCRWM CASK SYSTEM
- EVALUATING REACTOR SITE HANDLING AND LOADING CAPABILITIES

SUPPORT SYSTEM & OPERATIONS PLANNING ACTIVITIES (CONT)

- IDENTIFYING COMPONENTS NEEDED FOR TRANSPORTATION OPERATIONS
- FINAL CASK MAINTENANCE FACILITY FEASIBILITY STUDY REPORT ISSUED IN JANUARY 1991


OCRWM Transportation Program
Cask Systems Development
Support Systems & Operations Planning
Economic and Systems Studies
Institutional

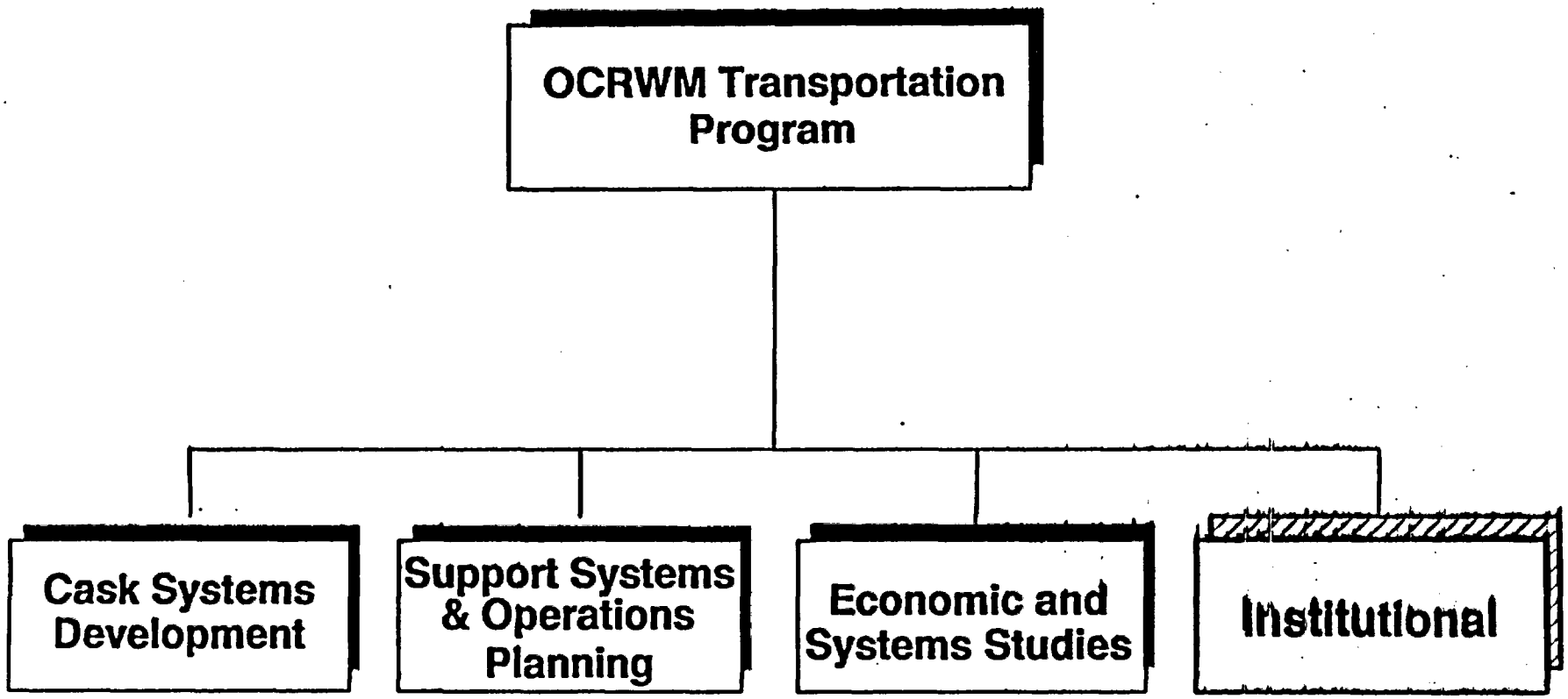
TAMAA 4/15/91

UPDATE ON ECONOMIC AND SYSTEM ANALYSIS ACTIVITIES

- INFRASTRUCTURE STUDIES CONTINUE:
  - NEAR-SITE TRANSPORTATION INFRASTRUCTURE STUDY (NSTI)
  - REVIEW OF FACILITY INFRASTRUCTURE CAPABILITY ASSESSMENT (FICA)
- RADTRAN DATA MODULES BEING DEVELOPED
  - RADTRAN DOCUMENTATION
  - DOCUMENTATION OF COST/RISK MODELS APPLYING OCRWM QUALITY ASSURANCE STANDARDS

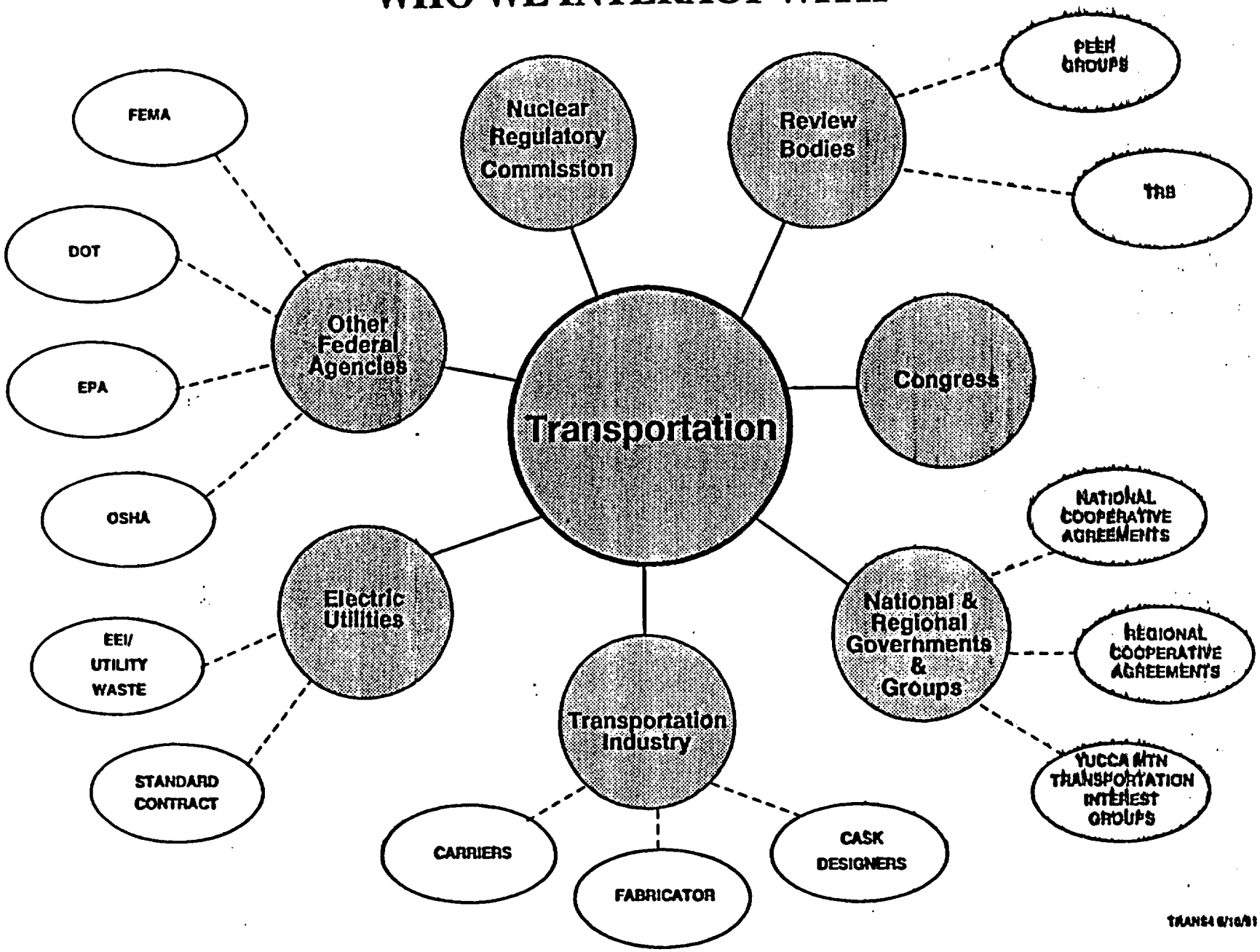
FACILITY INTERFACE WITH INITIATIVE I CASKS

- OCRWM GOAL FOR INITIATIVE I CASKS - 80% OF ALL FACILITIES
- CURRENT PRELIMINARY FICA DATA SHOWS INITIATIVE I CASKS POTENTIALLY USABLE AT 88%-96% OF ALL FACILITIES
- MAJOR ISSUES FOR REACTOR FACILITIES TO RESOLVE FOR THE USE OF INITIATIVE I CASKS ARE ADMINISTRATIVE
  - COMPLIANCE WITH NUREG-0612 "CONTROL OF HEAVY LOADS AT NUCLEAR POWER PLANTS"
  - MINIMUM WATER COVER DEPTH OVER FUEL DURING HANDLING OPERATIONS


OCRWM Transportation Program
Cask Systems Development
Support Systems & Operations Planning
Economic and Systems Studies
Institutional

TAMAS 4/15/91

WHO WE INTERACT WITH



TRANS4 6/16/91

MAJOR TRANSPORTATION ISSUES IDENTIFIED BY EXTERNAL PARTIES

- EMERGENCY RESPONSE
- INSPECTION AND ENFORCEMENT
- SHIPPING MODES
- OVERWEIGHT TRUCK PERMITTING
- PRENOTIFICATION OF SHIPMENTS
- ROUTING OF SHIPMENTS
- LIABILITY
- INFRASTRUCTURE IMPROVEMENTS
- STATE, LOCAL, AND TRIBAL REGULATIONS - FEDERAL PREEMPTION
- CASK DESIGN AND TESTING
- SAFEGUARDS/PHYSICAL PROTECTION REQUIREMENTS

UPDATE OF
MAJOR INSTITUTIONAL ACTIVITIES

- PRELIMINARY DRAFT STRATEGY FOR SECTION 180(C) ASSISTANCE WAS PRESENTED IN DECEMBER 1990 TO THE TCG. DRAFT STRATEGY WILL BE ISSUED IN 1991 FOR FORMAL COMMENT.

- PARTICIPATION ON THE HMT-USA INTER AGENCY TASK FORCE FOR INTEGRATION OF DOE + 180(C) EMERGENCY PREPAREDNESS PLANNING

- DEVELOPING CVSA PILOT TEST OF DRAFT UNIFORM INSPECTION PROCEDURES FOR HIGHWAY ROUTE CONTROLLED QUANTITY SHIPMENTS

- CONTINUING TO EVALUATE OVERWEIGHT TRUCK UNIFORM PERMIT ISSUE.

TRAINING ASSISTANCE
NWPA SECTION 180(C)

SECTION 180(C) OF THE NUCLEAR WASTE POLICY ACT, AS AMENDED, STATES THAT DOE:

"...SHALL PROVIDE TECHNICAL ASSISTANCE AND FUNDS TO STATES FOR TRAINING FOR PUBLIC SAFETY OFFICIALS OF APPROPRIATE UNITS OF LOCAL GOVERNMENT AND INDIAN TRIBES THROUGH WHOSE JURISDICTION THE SECRETARY (OF ENERGY) PLANS TO TRANSPORT SPENT NUCLEAR FUEL OR HIGH-LEVEL RADIOACTIVE WASTE....TRAINING SHALL COVER PROCEDURES REQUIRED FOR SAFE ROUTINE TRANSPORTATION OF THESE MATERIALS, AS WELL AS PROCEDURES FOR DEALING WITH EMERGENCY RESPONSE SITUATIONS."

OCRWM'S FIVE-STEP STRATEGY TO IMPLEMENT SECTION 180(C) REQUIREMENTS

1. CONTINUE EFFORTS WITH THE INTERESTED GROUPS TO DISCUSS AND RESOLVE ASSISTANCE ISSUES,

2. DEVELOP A POLICY OPTIONS PAPER IDENTIFYING POSSIBLE IMPLEMENTATION PROCESSES,

3. ISSUE AN ASSISTANCE POLICY STATEMENT IDENTIFYING THE OPTION SELECTED,

4. ISSUE A PLAN DETAILING THE IMPLEMENTATION PROCESS,

5. INITIATE TRAINING ASSISTANCE.

INTER-AGENCY COORDINATION GROUP FOR SECTION 17 OF HMT-USA

- COORDINATION GROUP REPRESENTS DOT, DOE, EPA, FEMA,OSHA AND NIEHS
- MEETINGS HELD TO ADDRESS DEVELOPMENT OF PLANNING AND TRAINING GRANT PROGRAMS. THE 6TH MEETING OF THE ICG WAS HELD ON MAY 23, 1991
- FUNDING INITIATED IN 1993 FOR GRANT AND TRAINING PROGRAMS PER LEGISLATIVE MANDATE

INTER-AGENCY COORDINATION GROUP FOR SECTION 17 OF HMT-USA (CONT)

- NOTICE OF PROPOSED RULEMAKING (NPRM) FOR TRAINING AND PLANNING GRANT PROGRAMS/CURRICULUM DEVELOPMENT CURRENTLY BEING DRAFTED AND UNDER FEDERAL REVIEW AND COMMENT

- ONE OR MORE NATIONAL "ROUND-TABLE" MEETINGS WILL BE HELD TO SCOPE IMPLEMENTATION PROCESS

CVSA UPDATE

- CVSA MEETING HELD MARCH 1991 - COLORADO SPRINGS,COLORADO
  - INSPECTION COMMITTEE FINALIZING INSPECTION GUIDELINES FOR TRANSURANIC, SPENT FUEL AND HIGH-LEVEL RADIOACTIVE WASTE SHIPMENTS
- CVSA MEETING HELD IN APRIL 1991 - PORTLAND, OREGON
  - TRAINING AND DATA SUBCOMMITTEES
  - FORMULATION OF GOALS AND OBJECTIVES FOR ONGOING DEVELOPMENT OF TRAINING MODULES
  - CREATION OF INSPECTION FORM FOR CVSA/DOE RADIOACTIVE WASTE PILOT STUDY

GENERAL SCHEDULE FOR TRANSPORTATION ACTIVITIES

1991-1993

- SUBMIT SAFETY ANALYSIS REPORTS TO NRC FOR CASK DESIGNS (FROM-REACTOR)
- DETERMINE NEEDS FOR SPECIALTY CASKS AND INITIATE DEVELOPMENT, IF APPROPRIATE
- DETERMINE PLANS FOR TRAINING ASSISTANCE
- COMPLETE INFRASTRUCTURE STUDIES
- DEFINE MRS/REPOSITORY SYSTEM

GENERAL SCHEDULE FOR TRANSPORTATION ACTIVITIES (CONTINUED)

1994-1995

- COMPLETE TRANSPORTATION STUDIES FOR MRS EIS
- DETERMINE PREFERRED OPTION FOR MANAGING TRANSPORT OPERATIONS
- DETERMINE NEED FOR FROM-MRS CASK DESIGN
- INITIATE EQUIPMENT ACQUISITION
- IDENTIFY POTENTIAL ROUTES FOR 180(C) TRAINING PURPOSES
- BEGIN TRAINING ASSISTANCE

GENERAL SCHEDULE FOR TRANSPORTATION ACTIVITIES (CONTINUED)

1995-1997

- DRAFT OPERATIONAL PROCEDURES
- ISSUE CASK-FLEET CONTRACT
- CONTINUE PROVIDING TRAINING ASSISTANCE

1998

- INITIATE OPERATIONS

CONCLUSION

OCRWM TECHNICAL PROGRAMS AND PLANS ARE STRUCTURED TO ENSURE THE TECHNICAL READINESS OF THE TRANSPORTATION SYSTEM IN 1998

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT

AND

YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT OFFICE
FY-91 AUDIT SCHEDULE* REVISION 4

ORGANIZATION	AUDIT NUMBER	DATE OF AUDIT	AUDIT TEAM LEADER
REECo	YMP-91-02	Feb. 25-28 (1)	Robert H. Klemens
~~LANL~~	~~YMP-91-03~~	~~March 25-29~~ (1)	~~Richard E. Powe~~
RTTD	HQ-91-003	Delayed Until Further Notice (2)	
USGS	YMP-91-05	May 20-24 (1)	Charlie C. Warren
LLNL	YMP-91-01	June 3-7 (1)	Frank J. Kratzinger
SAIC	YMP-91-06	June 17-21	Richard L. Maudlin
Raytheon	YMP-91-04	July 29 - Aug. 2	Stephen R. Dana
EM	HQ-91-002	August 12-16 (3)	Norman C. Frank
SNL	YMP-91-07	August 19-23	Neil D. Cox
OCRWM-HQ	HQ-91-04	Oct. 7-11 (4)	Thomas Rodgers
YMPO	YMP-91-I-01	Oct. 21-25 (5)	Richard E. Powe
PNL-MCC	Delayed Until Further Notice (6)		
EG&G	To Be Determined (6)		

* All applicable 20 criteria plus implementing procedures

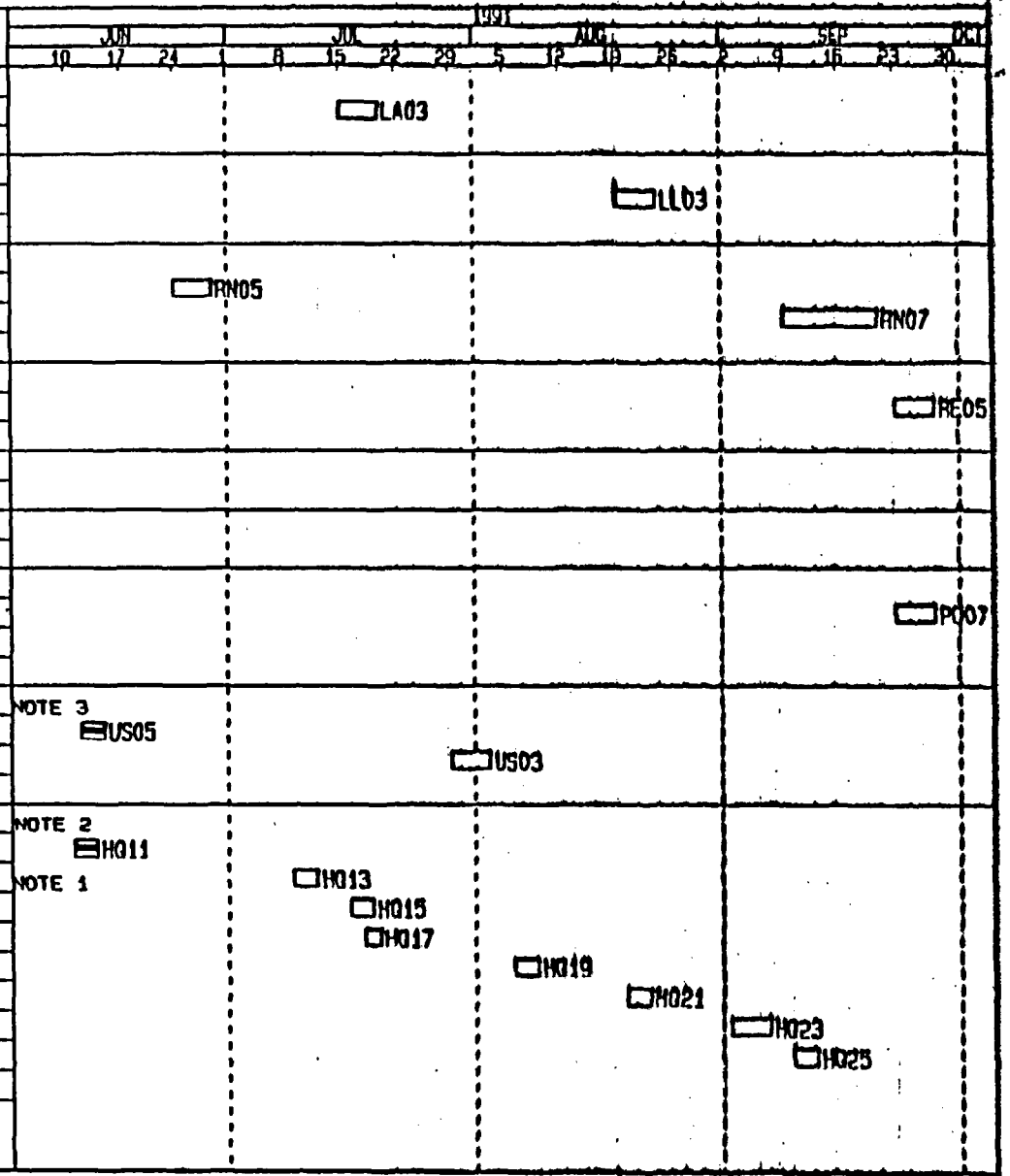
(1) Completed as scheduled
(2) Pending RW-431 action with respect to RTTD quality-affecting work
(3) Delayed pending OCRWM acceptance of EM QAPD
(4) To increase available activities to be audited based on issuance of requirements documents.
(5) To verify flow-down of those requirements from the HQ requirements documents and additional activities associated with field work.
(6) Equivalent to Qualification Award Survey

Approval: Director, OQA

Date: 6/19/91

Attachment 4

DEPT	ACTIVITY DESCRIPTION	EARLY START	EARLY FINISH
LOS ALAMOS NATIONAL LABORATORY			
	CRITERIA 16 - 18	15JUL91	19JUL91
LAWRENCE LIVERMORE NATIONAL LABORATORY			
	CRITERIA 18	19AUG91	23AUG91
RAYTHEON			
	CRITERIA 1, 5, 16, 18	24JUN91	28JUN91
	CRITERIA 2, 3, 17 (TITLE II ESF)	9SEP91	20SEP91
REYNOLDS ELECTRICAL AND ENGINEERING CO.			
	CRITERIA 16, 18	23SEP91	27SEP91
SAIC/T&MSS			
SANDIA NATIONAL LABORATORY			
P.O.			
	CRITERIA 2, 3, 17	23SEP91	27SEP91
U.S.GEOLOGICAL SURVEY			
	CRITERIA 12 (MGTE)	12JUN91A	14JUN91A
	CRITERIA 1 (ORG)	29JUL91	2AUG91
OCRWM/HQ			
	CRITERIA 5	11JUN91A	13JUN91A
	CRITERIA 3	9JUL91	11JUL91
	CRITERIA 3	16JUL91	18JUL91
	CRITERIA 3	18JUL91	19JUL91
	CRITERIA 16	6AUG91	8AUG91
	CRITERIA 18	20AUG91	22AUG91
	CRITERIA 18	2SEP91	6SEP91
	CRITERIA 17	10SEP91	12SEP91



NOTES:
1. RESCHEDULED
2. H.Q.SCHEDULED SURVEILLANCE
3. UNSCHEDULED

Activity Bar/Early Date
Critical Activity
Progress Bar

Primavera Systems, Inc. 1984-1990

Project Start : 10CT89
Project Finish: 30SEP91A

DEPARTMENT OF ENERGY
SURVEILLANCE SCHEDULE W/ORG
FY-91 STATUS, REV 10

Sheet 1 of 1

Data Date: 3JUN91
Plot Date: 20JUN91

APPROVED 6/20/91 DATE

INFORMATION COPY

OCRWM QUALITY CONCERNS PROGRAM

X X 6/14/91 1 10

1.0 PURPOSE

This procedure describes the Office of Civilian Radioactive Waste Management (OCRWM) Quality Concerns Program (QCP) that provides personnel the opportunity to confidentially report concerns or conditions either adverse to quality or to the radiological health and safety of PROGRAM participant personnel and the general public. This is an action-oriented management system designed to assure each employee, and others, that positive steps are taken by OCRWM management to resolve any reported concerns.

The QCP encourages employee/contractor participation in the achievement of quality. An important provision of the QCP is to guarantee the confidentiality of the identity of individual(s) reporting concerns and to ensure that the individual is protected from reprimand, harassment, retaliation, duress, or reprisal.

2.0 SCOPE

This procedure establishes an OCRWM-wide program for identifying and reporting quality concerns that will be available to PROGRAM participants.

The QCP is not intended to handle allegations of waste, fraud, theft, mismanagement, criminal acts, or concerns involving industrial safety or personnel-related issues, etc., as there are established systems to address these issues. However, if such concerns are received through the QCP, they will be directed to the appropriate organization for investigation.

3.0 REFERENCES AND DEFINITIONS

3.1 REFERENCES

3.1.1 DOE/RW-0214, Quality Assurance Requirements Document - Office of Civilian Radioactive Waste Management Program (QARD).

3.1.2 DOE/RW-0215, Quality Assurance Program Description Document - Office of Civilian Radioactive Waste Management Program (QAPD).

3.2 DEFINITIONS

3.2.1 Standard definitions of terms are contained in the Glossary-Reference 3.1.1.

3.2.2 Interviewer - The individual who: (a) has direct contact with the originator of a concern; (b) is responsible to investigate the information provided by the originator to determine its validity, and (c) verifies that actions taken to resolve the concern are complete. This individual shall be independent of the affected activity (i.e., neither have performed the activity nor reports to an individual responsible for the activity).

3.2.3 Originator - The individual who identifies the concern to the QCP for investigation and resolution.

3.2.4 PROGRAM - U.S. Department of Energy, Office of Civilian Radioactive Waste Management Program

3.2.5 PROGRAM participant - All organizations performing work on the PROGRAM

3.2.6 TPO - Individuals responsible for management of work assigned to organizations supporting the Office of Geologic Disposal.

3.2.7 Quality Concern - A problem or, a perceived problem, which indicates that PROGRAM activities have not met either the technical or quality requirements for the PROGRAM and may adversely affect:

a) the radiological health and safety of the public during the processing, handling, transportation, storage or the safe disposal of high-level radioactive waste; or

b) work that either provides direct input into the license application or the radiological safety sections of the environmental impact statement or indirectly supports the technical arguments in the license application or the radiological safety sections of the environmental impact statement.

3.2.8 Quality Concerns Hotline — ~~A Program-wide telephone~~ message and mail system designed to allow Program personnel and others to express quality concerns in confidence and obtain feedback on resolutions if desired.

3.2.9 Exit Interview Package - A package of Quality Concerns Program material consisting of:

a) Quality Concerns Disclosure Statement - Figure 2 with pre-paid QCP-addressed envelope;

b) Exit Interview Form for Transferring/Departing Employees - Figure 3;

c) other explanatory material providing details on how to contact the QCP office.

4.0 RESPONSIBILITIES

4.1 DIRECTOR, OCRWM

4.1.1 The Director, OCRWM, or designee has overall responsibility for:

4.1.1.1 Establishing, implementing and monitoring a Quality Concerns Program (QCP) to process concerns as described in this procedure.

4.1.1.2 Acting in place of the Director, Office of Quality Assurance (OQA), as described in this procedure, when a quality concern specifically questions the actions of, or describes a problem within, the Office of Quality Assurance.

4.2 ASSOCIATE DIRECTORS/OFFICE DIRECTORS, OCRWM

The Associate Directors/Office Directors are responsible for:

4.2.1 Assigning a QCP Coordinator to interface with the Quality Concerns Program Manager.

4.2.2 Providing prompt support of the QCP process by investigating, evaluating, responding to, and correcting any condition determined to be a quality concern.

4.3 ASSOCIATE DIRECTOR, OFFICE OF PROGRAM AND RESOURCES MANAGEMENT (OPARM) AND ASSOCIATE DIRECTOR, OFFICE OF GEOLOGIC DISPOSAL (OGD) are responsible for:

4.3.1 Coordinating respective employee exit interviews.

4.4 DIRECTOR, OFFICE OF QUALITY ASSURANCE (OQA)

The Director, OQA, is responsible for:

4.4.1 Providing general supervision of the Quality Concerns Program Manager.

4.4.2 Maintaining and providing resources for implementation of the system described in this procedure.

4.4.3 Conducting periodic surveillances and audits to assess the implementation of the Quality Concerns Program.

4.5 QUALITY CONCERNS PROGRAM MANAGER

The Quality Concerns Program Manager has the overall responsibility for:

4.5.1 Notifying the Director, OCRWM, when the quality concern involves OQA.

4.5.2 Preparing and maintaining this QAAP.

4.5.3 Establishing and maintaining the telephone and mail-in system for the identification of quality concerns.

4.5.4 Assuring that each quality concern is documented, assigned an identification number, logged, screened, and investigated as described herein.

4.5.5 Concurring with quality concern investigation activities and corrective actions.

4.5.6 Maintaining confidentiality with respect to access to quality concerns investigation documentation and files.

4.5.7 Coordinating the investigation and feedback on the status of PROGRAM participant concerns from Program Participant coordinators.

4.5.8 Assigning a QCP interviewer to lead, coordinate or participate in the investigation of a quality concern.

4.5.9 Monitoring the progress of recommended actions and closure of any corrective action associated with a quality concern.

4.5.10 Issuing a monthly status report regarding investigations in-progress to the Directors, OCR&M and QA, and the organizations involved in, or affected by, a quality concern.

4.5.11 Closing the Quality Concerns Program files when actions have been completed and processing designated QA records per Section 7.0.

4.5.12 Providing Quality Concerns Program promotional material (e.g., posters, brochures, videos, prepaid mailers, forms, etc.), as appropriate, to PROGRAM participant employees.

4.5.13 Providing indoctrination and training to PROGRAM participant employees including:

4.5.13.1 Employee indoctrination

4.5.13.2 Interviewer and Participant Coordinator training

4.6 QUALITY CONCERNS INTERVIEWER

4.6.1 A Quality Concerns Interviewer is responsible for manning the Hotline phone during normal working hours, reviewing Hotline recorded telephone messages every working day, and taking appropriate action to incorporate reported concerns into the Quality Concerns Program.

4.6.2 The Quality Concerns Interviewer is responsible for an investigation of quality concerns, documenting results, and verifying that corrective actions have been taken to satisfactorily resolve the expressed concern. The interviewer shall not investigate non-quality concerns, but shall be responsible for follow-up to ensure evaluation is made and to obtain a response from the responsible organization.

4.6.3 A summary report shall be prepared by the Quality Concerns Interviewer and approved by the QCP Manager for submittal to appropriate management. The report shall be (1) a concise statement of the concern with the identifying number; (2) action taken to resolve the concern; (3) a statement verifying that corrective action has been completed; and (4) signed by the interviewer.

4.7 QUALITY CONCERNS PROGRAM (QCP) PARTICIPANT COORDINATOR

QCP Participant Coordinator activities shall be limited to coordinating the Exit Interview Program; assisting the Quality Concerns Interviewer as requested; assisting in training, installation, and maintenance of QCP promotional material; acting as point of contact between Participant and the QCP Manager; and maintaining the follow-up of Corrective Action Requests to obtain timely response. Any additional support activity beyond that noted above shall be requested from and approved by responsible Program Participant management.

5.0 GENERAL

5.1 An important provision of the QCP is to guarantee confidentiality of the identity of the concern originator to ensure that the individual is protected from reprimand, harassment, retaliation, duress, or reprisal.

5.2 Promotional materials and training provide a means to communicate the goals and objectives of the QCP to employees at PROGRAM participant locations. QCP training shall be provided in order to: (1) Acquaint employees with the QCP and allow them to ask questions about the program; and (2) Train interviewers and coordinators on how to perform their respective responsibilities.

5.3 Sources of quality concerns may include:

5.3.1 Information received from the QCP Hotline.

5.3.2 Concerns identified during exit or other personal interviews.

5.3.3 Notification from the NRC or other outside agency or interest (e.g., states, tribes).

5.3.4 Prepaid mailers or letters from any source.

5.4 Upon receipt of a call that identifies a quality concern, the Originator shall be provided with a unique concern identification number as described in Section 6.1. At no time shall the name of the Originator be recorded, nor shall it appear in any file, work papers, or reports unless specifically requested or agreed to by the Originator. Any request by the Originator for status of the quality concern investigation or any results must be made using the concern's unique identification number.

5.5 Since the initial contact with a concern's originator may be the only opportunity to obtain information about the quality concern, the location, characteristics, nature, impact on quality and safety, personnel to contact and any other specifics may be obtained during the initial interview in order to fully define the quality concern. This information is necessary to permit an appropriate investigation of a reported concern.

6.0 PROCEDURE

6.1 REPORTING QUALITY CONCERNS

6.1.1 The Quality Concerns Program Manager shall establish and maintain the interview, telephone, and mail-in system for the identification of quality concerns.

The system shall provide for posted notification throughout the Program explaining the purpose, availability, instructions for use, the address of the QCP office and the telephone number of the Quality Concerns Hotline.

6.1.2 Program personnel who have quality concerns, or knowledge of quality concern matters, that have not been resolved to their satisfaction through normal channels, or that require anonymity, may report them through the Quality Concerns Program outlined in this procedure.

6.1.3 Quality concerns may be reported in a personal interview; via telephone, using a mail-in form; through the exit interview process, or any other appropriate method.

6.1.4 Concerns will be given a unique identification number by the QCP office and placed on a logging system. When possible, the concern originator will be given the identification number which must be

used if information on the resolution of the concern is requested. Feedback shall depend on establishing an acceptable means of communication between the QCP and the originator of the concern.

6.1.5 The identity of originators shall not be revealed during the course of any actions involved with the investigation, follow-up and resolution of a quality concern.

NOTE: However, in cases where a quality concern may result in duly authorized legal investigations or legal actions, identification of an originator may be required by a specific legal procedure/order.

6.1.6 A complete description of the quality concern should be provided by the originator. When possible descriptive information should include: the location, responsible individual(s), concise/ specific details regarding the condition, when the condition occurred, and other individuals who may provide additional information.

6.1.7 When utilizing the QCP Telephone Hotline method, the originator should follow the recorded instruction. The telephone system will be available on a 24-hour basis. The Hotline number and instructions on its use will be posted at Program participant locations.

6.1.8 The Exit Interview Package is designed to provide departing individuals an opportunity to express a concern directly to the Quality Concerns Program Office, either by letter or personal interview, and is independent of the knowledge of respective management, if so desired. This may also be accomplished by using the Hotline or the Quality Concerns Program Letter (Figure 1). In addition, the signed acknowledgment of receipt of the Exit Interview Package (Figure 3) provides a record that the departing employee was made aware of the Quality Concerns Program.

6.1.9 The Exit Interview Package processing may be performed in a manner deemed appropriate by the PROGRAM participant. Completed Exit Interview Forms will be submitted to the QCP for processing per Section 7.0.

6.2 RESOLVING QUALITY CONCERNS

6.2.1 Upon receipt of a concern, the Quality Concerns Program Office shall determine whether it is a quality concern, as defined in Paragraph 3.2. If not, the concern will be referred to the appropriate DOE organization (i.e., Security, Personnel, Safety, etc.), but the Quality Concerns Program Office shall retain responsibility for follow-up to obtain a response and report back to the originator the action taken by the responsible organization.

6.2.2 The quality concern will be assigned to a Quality Concerns Interviewer. The interviewer shall prepare an investigation plan which may, as appropriate include support provided via paragraph 4.2.2, for approval by the QCP Manager. An appropriate investigation of all the information provided by the originator shall be conducted.

6.2.3 When the QCP Manager and the interviewer concur that a quality concern is substantiated and the need and responsibility for corrective action is established, the interviewer shall prepare a Corrective Action Request per QAAP 16.1, Corrective Action Requests. The CAR shall be transmitted to the respective Participant TPO and the Quality Concerns Coordinator of the organization responsible for action. A copy shall be sent to the cognizant Associate Director (AD)/Office Director (OD).

6.2.4 The CAR response shall include the plan for achieving corrective action and the schedule for completion. The response shall be transmitted to the Quality Concerns Program Office within ten (10) working days from receipt. Delinquent responses shall be referred to the cognizant AD/OD for assistance in obtaining corrective action.

6.2.4.1 The cognizant AD/OD shall respond within five (5) working days. If the response is not received, the concern shall be referred by the Quality Concerns Program Manager, via the Director, OQA, to the Director, OCRWM for resolution.

6.2.5 Upon completion of the investigation and verification of any required corrective action, the interviewer shall prepare a Quality Concerns Program Investigation Report, including applicable references and supporting documents.

6.2.5.1 The report shall be summarized stating the concern and any appropriate corrective action taken. Copies of the summary shall be sent to the Director, OCRWM, the cognizant Associate Director, Office Director, Director OQA, and the responsible Participant's TPO.

6.2.6 The interviewer shall notify the originator of the actions taken to resolve the reported concern if appropriate avenues of communication have been established. If the originator is not satisfied with and rejects the resolution, the matter shall be referred to the QCP Manager and the Director, OQA for direction.

6.2.7 A system shall be developed to provide tracking and status of quality concern resolution activities.

7.0 RECORDS

7.1 QA records shall be processed in accordance with QAAP-17-01. Records Management: Record Source Implementation. At a minimum, the following are considered QA Records:

7.1.1 Exit Interview Form for Transferring/Departing employees;

7.1.2 Corrective Action Request (CAR); and

7.1.3 Relevant correspondence associated with the CAR.

8.0 ATTACHMENTS

8.1 Attachment I - Quality Concerns Program Letter

8.2 Attachment II - Quality Concerns Disclosure Statement

8.3 Attachment III - Exit Interview Form for Transferring/ Departing Employees

QUALITY CONCERNS PROGRAM LETTER

QUALITY CONCERNS PROGRAM
OCRWM
U. S. Department of Energy
Mail Stop RW-3
1800 Independence Ave.
Washington, DC 20585

Date_____

I have the following concern:

Please describe the concern in detail and include the following: (1) condition/concern; (2) location of the concern; (3) procedure or system affected, (4) activities affected, (5) dates and times, (6) possible impact, (7) how the QUALITY CONCERNS PROGRAM can learn more about the condition, and (8) names of others who can help us.

(Additional sheets may be added, if necessary)

I want to be informed of the results of the investigation. Yes ☐ No ☐
If your answer is yes, please let us know how we can contact you:

Name_____ Address_____

Telephone (____)_____

Signature_____ Access Code_____

THE ABOVE PERSONAL INFORMATION WILL REMAIN CONFIDENTIAL

BLOCK TO BE COMPLETED BY QUALITY CONCERNS PROGRAM REP:

CONCERNS FILE NO._____
DATE RECEIVED:_____

QUALITY CONCERNS PROGRAM

QUALITY CONCERNS DISCLOSURE STATEMENT

I, _____, employed by _____

acknowledge that: (Check one of the items below)

☐ I know of no existing quality problems not currently identified which could 1) affect the safe operation for this Program, and/or 2) affect the radiological health and safety of the general public or Project site personnel.

☐ The quality problem(s) listed below, in my opinion affect either 1) the safe operation of, and/or, 2) the radiological health and safety of the general public or site personnel of the Program. Please describe the concern in detail. Include the following: Location of the concern, procedure or system affected, activities affected, dates and times, possible future problems, how the QUALITY CONCERNS PROGRAM can learn more about the problem, and names of others who can help us.

(Use additional pages as needed)

I may be contacted at:

_____ _____

_____ _____

_____ _____

_____ _____

Telephone (_____) _____

It would be appreciated if you would return this completed form to the QUALITY CONCERNS PROGRAM. A prepared envelope is provided in the Exit Interview Package for this purpose. Your name will remain confidential.

QUALITY CONCERNS PROGRAM

EXIT INTERVIEW FORM FOR TRANSFERRING/DEPARTING EMPLOYEES

Date _____ Position Title _____

Employee Name _____ Badge Number _____

Employer _____

Permanent Address _____

_____

_____

Phone Number _____

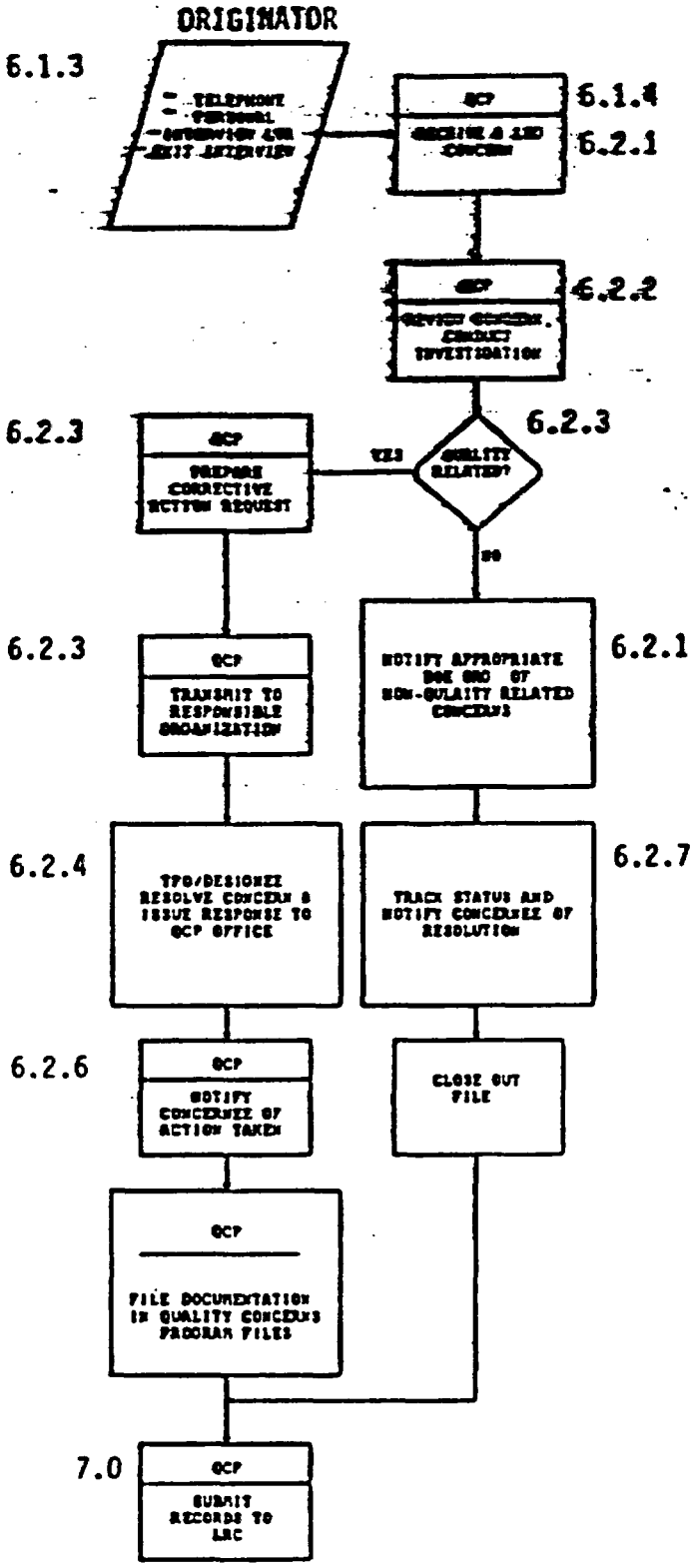
☐ I was given the Exit Interview Package

_____
Employee Signature

☐ Employee was not on site or unavailable

☐ An Exit Interview Package was mailed

QUALITY CONCERNS COORDINATOR _____
Signature Date


ORIGINATOR
6.1.3
QCP
6.1.4
6.2.1
QCP
6.2.2
6.2.3
QCP
YES
6.2.3
6.2.3
QCP
NO
6.2.1
6.2.4
6.2.7
QCP
6.2.6
QCP
7.0
QCP

SURVEILLANCE OBSERVATION REPORT NO. 91-S5

1.0 INTRODUCTION

The Lawrence Livermore National Laboratory (LLNL), a participant in the Yucca Mountain Site Characterization Project (YMP), is responsible for the development of a waste package, which includes the definition of the package environment, material development and testing, package design, performance analysis, and testing. LLNL also provides assistance to other YMP participants in areas of specialized expertise.

From April 8-10, 1991, the Yucca Mountain Quality Assurance Division (YMQAD) of the Yucca Mountain Site Characterization Project Office (YMPO) conducted a quality assurance (QA) surveillance (YMP-SR-91-013) of the LLNL YMP QA program at Livermore, California. This surveillance was conducted in accordance with the YMPO Quality Management Procedure QMP-18-02, Revision 2, "Surveillances." A member of the U.S. Nuclear Regulatory Commission (NRC) staff participated in the surveillance as an observer. This report documents the staff's assessment of the effectiveness of the DOE/YMPO surveillance and the adequacy of the LLNL QA program procedural controls, including the status of their implementation under the Code of Federal Regulations Title 10, Part 50, Appendix B.

2.0 PURPOSE

This DOE/YMPO surveillance evaluated the adequacy of procedural controls and the status of their implementation under selected program elements of the LLNL QA program. The staff's purpose in observing this surveillance was to gain confidence that the DOE and LLNL are properly implementing the requirements of their QA programs by assessing the effectiveness of the DOE/YMPO surveillance and determining the adequacy of the LLNL QA program in the areas surveilled.

3.0 SCOPE

The DOE/YMPO surveillance team selected Criteria 2, 4, 7, and 18 requirements from the LLNL QA Program Plan (QAPP) for review and assessment of adequacy of procedural controls and status of procedural implementation. Procedures and activities associated with the above criteria were reviewed. The scope of this surveillance did not include any review of the technical adequacy and qualification of the technical products and activities.

4.0 PARTICIPANTS

The surveillance was conducted by Science Application International Corporation (SAIC) staff members working under the authority of the YMQAD. Robert Constable represented YMQAD, and the SAIC team consisted of John Martin and Richard Weeks. James Conway of the NRC staff observed the surveillance.

5.0 LLNL PERSONNEL CONTACTED

James Blink, Assistant Project Leader
Barbara Bryan, Project Administrator
Perpetua Comstock, Resource Manager
Robert Dann, QA Project Manager
Darleen Good, Training Coordinator
Barbara Larson, Central Procurement
Raymond Hamati, Quality Assurance Engineer
Faith Halstrom, Central Procurement
Margaret McGee, Central Procurement
James Merrigan, Investigation Staff Support
Eloise Moffet, Central Procurement
John Podobnik, Resource Planning and Project Controls Manager
Dave Short, Assistant Project Leader
Pat Van Lehn, Calibration Coordinator

6.0 SUMMARY RESULTS

The DOE/YMPO surveillance team conducted a detailed examination and review of the LLNL records and documents to assess compliance with the procedural requirements. The team interviewed several LLNL personnel to assess their knowledge of relevant QA requirements and applicable implementing procedures under each criterion surveilled. Adequacy of controls and status of implementation for selected procedures were assessed and documented on the checklist for each of the criteria surveilled.

The team identified that the Quality Suppliers List did not reflect current qualified suppliers and LNLL Surveillance Report S90-06 contained incomplete checklists. During the course of this surveillance, LLNL took action to correct these deficiencies. In the procurement area, two LLNL procedures 033-YMP-QP 4.0 "Procurement Control and Documentation" and 033-YMP-QP 4.1 "Preparation of QA Requirements, Specifications and Approval" will be revised by LLNL to address the elimination of QA Levels 1, 2 and 3 and the initiation of the QA Grading Process.

When items and services are purchased for the YMP, the LLNL YMP procurement group initiates a purchase requisition which is sent to the LLNL central procurement office for subsequent procurement activities (e.g., contacting the vendor and issuing the PO). Since the last audit of LLNL in May 1990, only four quality related purchase orders (PO) were issued. One went to Kaiser Engineering for QA services, and three went to individuals for technical services contracts to perform a peer review. The surveillance team found the sample of four PO's too small to determine the effectiveness of procedural implementation.

It was noted that a dedicated buyer(s) has not been assigned to the LLNL YMP procurement actions, and personnel in LLNL central procurement have not been trained to the YMP procedures pertaining to procurement. It appears that procedural guidelines are remiss in the letting of contracts for the sole source supplier of services and in the establishment and documentation of internal interfaces which exist between LLNL YMP and LLNL central procurement for purchasing activities. A potential Corrective Action Request will be written by the DOE/YMPO surveillance team concerning these deficiencies.

7.0 NRC CONCLUSIONS

The NRC staff determined this limited surveillance to be useful and satisfactory in evaluating the implementation of QA requirements in the areas of training and qualification of personnel, procurement of items and services, audits, and surveillances. The DOE/YMPO surveillance team was well prepared and was familiar with the LLNL QAPP requirements and relevant QA procedures for the areas that were surveilled. The checklists were well prepared and utilized in determining the adequacy of procedural controls for the areas that were evaluated and the implementation of QA requirements in these areas. The team was thorough and professional in conducting the surveillance.

The NRC staff agrees with the DOE/YMPO surveillance team's preliminary conclusions that: the LLNL QA program provides adequate procedural controls for training and qualification of personnel, audits, and surveillances; there is satisfactory implementation in the areas of training and qualification of personnel, audits, and surveillances; and effective procedural implementation cannot be determined for procurement activities due to the limited amount of programmatic activity in this area.

SURVEILLANCE OBSERVATION REPORT NO. 91-57

1.0 INTRODUCTION

The Sandia National Laboratories (SNL), a participant in the Yucca Mountain Site Characterization Project (YMP), is responsible for repository systems development; data management and analysis; systems performance assessment of the repository; conceptual design of the repository; determining the thermal and mechanical properties of the host rock; repository sealing performance requirements, materials evaluation, design, and testing; and providing assistance to other YMP participants in areas of specialized expertise.

From May 6-10, 1991, the U.S. Department of Energy (DOE)/Yucca Mountain Site Characterization Project Office (YMPO) conducted a quality assurance (QA) surveillance (YMP-SR-91-015) of the SNL YMP QA program at Albuquerque, New Mexico. This surveillance was conducted in accordance with the YMPO Quality Management Procedure (QMP)-18-02, Revision 2, "Surveillance." A member of the U. S. Nuclear Regulatory Commission (NRC) staff participated in the surveillance as an observer. This report documents the staff's assessment of the effectiveness of the DOE/YMPO surveillance, the adequacy of the SNL QA program procedural controls, and the status of their implementation under Criteria 2 and 18 of the Code of Federal Regulations Title 10, Part 50, Appendix B.

2.0 PURPOSE

This DOE/YMPO surveillance evaluated the adequacy of procedural controls and the status of their implementation under selected program elements of the SNL QA program. The staff's purpose in observing this surveillance was to gain confidence that the DOE and its contractors are properly implementing the requirements of their QA programs by assessing the effectiveness of the DOE/YMPO surveillance and determining the adequacy of the SNL QA program in the areas surveilled.

3.0 SCOPE

The DOE/YMPO auditor selected Criteria 2 and 18 requirements from the SNL QA Program Plan (QAPP) for review and assessment of adequacy of procedural controls and status of procedural implementation. The specific areas reviewed were SNL QA audits, qualifications of personnel, and YMP-specific training of personnel. The scope of this surveillance did not include any review of the technical adequacy and qualification of technical products and activities such as technical procedures, laboratory notebooks and data, or field notebooks and data.

The scope of this surveillance was reduced from that initially planned, since the second member of the DOE/YMPO surveillance team was withdrawn from the surveillance on Friday, May 3, 1981 to perform more urgent tasks.

4.0 SURVEILLANCE PARTICIPANTS

DOE/YMPO

Amelia I. Arco, Science Applications International Corporation

NRC

Kenneth R. Hooks, Observer

5.0 SURVEILLANCE SUMMARY RESULTS

The DOE/YMPO auditor conducted a detailed examination and review of SNL audit schedules, audit reports and checklists, personnel qualification and training records, and other relevant documents to assess compliance with the procedural requirements. The auditor interviewed several SNL and contractor personnel to assess their knowledge of relevant QA requirements and applicable implementing procedures under each criterion surveilled.

The checklists used were based on rquirements in SNL Quality Assurance Procedures (QAP) 02-05 "Training and Familiarization Procedures," 02-07 "Qualifications of Quality Assurance Personnel," 18-01 "Quality Assurance Audits," and SNL Division Operating Procedure (DOP) 02-06 "Qualification and Certification of Personnel." Adequacy of controls and status of implementation for these procedures were assessed and documented on the checklist for each of the criteria surveilled.

The auditor concluded that the procedural controls under Criteria 2 and 18 are generally adequate and their procedural implementation is satisfactory. One preliminary Corrective Action Report regarding late issuance of SNL audit reports was identified by the auditor. Several other procedural deficiencies identified during the course of the surveillance were corrected prior to the exit meeting on May 10, 1991.

6.0 SNL AND CONTRACTOR PERSONNEL CONTACTED DURING THE SURVEILLANCE

Thomas E. Blejwes, Acting Dept. Mgr, SNL
Robert R. Richards, QA Division Supervisor, SNL
Gene A. Smit, QA Engineer, SNL
Jerry A. Letz, QA Engineer, SNL
David R. Hawkinson, QA Engineer, Mactec
Mary A. Tang, Training Manager, SNL

Alice P. Hotchkiss, Records Manager, SNL
Thomas F. Vanderbeek, Training, SNL
Curtis A. Barnes, QA Engineer, Mactec
Charles E. Foreman, QA Engineer, Mactec
Taber G. Hersum, QA Engineer, Mactec

7.0 NRC CONCLUSIONS

The staff observer found the DOE/YMPO surveillance of the SNL QA program useful and effective. The DOE/YMPO auditor was well prepared and was familiar with the SNL QAPP requirements and relevant implementing procedures for the areas surveilled. The checklists for this surveillance were well prepared and used in determining the adequacy of procedural controls under Criteria 2 and 16. The auditor was thorough and professional in conducting the surveillance, and did not hesitate to depart from the checklist items to pursue information required to demonstrate adequacy of implementation.

The NRC staff observer and the DOE/YMPO auditor were able to review all pertinent personnel qualification and training documents. SNL YMP personnel were cooperative, and retrievability of documentation requested by the DOE/YMPO auditor was generally very good.

The NRC staff agrees with the DOE/YMPO auditor's preliminary conclusions that the SNL QA program provides adequate procedural controls and that the procedural implementation of the procedures under the criteria surveilled is also adequate.

SURVEILLANCE OBSERVATION REPORT NO. 91-S8

1.0 INTRODUCTION

The Science Applications International Corporation (SAIC)/Technical & Management Support Services (T&MSS), a participant in the Yucca Mountain Site Characterization Project (YMP), is responsible for the environmental and radiological monitoring activities for the YMP. SAIC/T&MSS is also responsible for providing technical and management assistance to the U.S. Department of Energy (DOE)/Yucca Mountain Site Characterization Project Office (YMPO).

From May 6-8, 1991, the DOE/YMPO conducted a quality assurance (QA) surveillance (YMP-SR-91-017) of the SAIC/T&MSS QA program at Las Vegas, Nevada. This surveillance was conducted in accordance with the YMPO Quality Management Procedure (QMP)-18-02, Revision 2, "Surveillance." A member of the U.S. Nuclear Regulatory Commission (NRC) staff participated in the surveillance as an observer. This report documents the staff's assessment of the effectiveness of the DOE/YMPO surveillance, the adequacy of the SAIC/T&MSS QA program procedural controls, and the status of their implementation under Criteria 2, 4 and 17 of the Code of Federal Regulations Title 10, Part 50, Appendix B.

2. PURPOSE

This DOE/YMPO surveillance evaluated the adequacy of procedural controls and the status of their implementation under selected program elements of the SAIC/T&MSS QA program. The staff's purpose in observing this surveillance was to gain confidence that DOE and its contractors are properly implementing the requirements of their QA programs by assessing the effectiveness of the DOE/YMPO surveillance and determining the adequacy of the SAIC/T&MSS QA program in the areas surveilled.

3. SCOPE

The DOE/YMPO surveillance team selected Criteria 2, 4 and 17 requirements from the SAIC/T&MSS QA Program Plan (QAPP) for review and assessment of adequacy of procedural controls and status of procedural implementation. The SAIC/T&MSS procedural controls associated with the preparation and review of the Exploratory Studies Facility Design Requirements (ESFDR) document, Appendix J; review of the Site Characterization Program Baseline (SCPB) document; flow-down to the Environmental Regulatory Compliance Plan (ERCP) requirements of the ESFDR, Appendix J; records; and associated personnel training were reviewed and evaluated. The scope of this surveillance did not include any review of the technical adequacy and qualification of technical products such as technical documents or data.

4.0 SURVEILLANCE PARTICIPANTS

DOE/YMPO

Donald J. Harris	Surveillance Team Leader, Harza Engineering Company
Terry W. Noland	Surveillance Team member, Westinghouse Electric Corporation
Kenneth T. McFall	Surveillance Team member, SAIC

NRC

Tilak R. Verma	Observer

STATE OF NEVADA

Susan W. Zimmerman	Observer

5.0 SURVEILLANCE SUMMARY RESULTS

The DOE/YMPO surveillance team conducted a detailed examination and review of the review packages for ESFDR, Appendix J; SCPB; and ERCP. Personnel qualification and training records associated with the review of these documents were also reviewed and examined by the surveillance team. The surveillance team interviewed several SAIC/T&MSS personnel to assess their knowledge of relevant QA requirements and applicable implementing procedures under each criterion surveilled.

The surveillance team used checklists and questions that were based on SAIC/T&MSS Standard Practice Procedure (SP) 1.31, Revision 3, "Initial Evaluations, Qualification, and Training of T&MSS Personnel;" SP 2.3, Revision 1, "Review of T&MSS Technical Documents," and SP 1.36, Revision 3, "Records Management: Record Source Implementation." Adequacy of controls and status of implementation for these procedures were assessed and documented on the checklist for each of the criteria surveilled. The surveillance team was thorough in its review of documents and in ascertaining relevant information from its questioning of SAIC/T&MSS personnel.

The surveillance team concluded that the SAIC/T&MSS QA program provides adequate controls under the criteria surveilled. With the exception of two minor procedural violations, the team found procedural implementation of SP 2.3 for the review of the SCPB satisfactory. The surveillance team identified two Corrective Action Requests (CARs) for these minor procedural violations associated with the review of the SCPB.

The procedural controls for the preparation and review of ESFDR, Appendix J were found not to be fully implemented. The surveillance team was directed (verbally) by the DOE/YMPO QA management to document these procedural violations in the text of the surveillance report and therefore, no CARs were generated for lack of procedural implementation during the preparation and review of the ESFDR, Appendix J. The ESFDR, Appendix J is on Project Requirements List (PRL) as non-quality affecting.

6.0 SAIC/T&MSS PERSONNEL CONTACTED DURING THE SURVEILLANCE

K. H. Amaditz, Training Coordinator, Geotechnical Department
J. B. Harper, Manager, Quality Assurance Department
L. P. Larkin, Training Coordinator, Nuclear Regulatory Compliance Department
M. A. Lugo, Staff Licensing Integration
E. W. McCann, Manager, Environmental Compliance and Planning Department
J. R. Narron, Training Coordinator, Quality Assurance Department
L. C. Raymer, Training Coordinator, Systems Engineering Department
G. J. Schaning, Training Coordinator, Environmental Compliance and Permitting Department
S. H. Sims, Training Coordinator, Project Management
C. K. VanHouse, Training Coordinator, Field Operations and Support Department

7.0 NRC CONCLUSIONS

The staff found the DOE/YMPO surveillance of the SAIC/T&MSS QA program useful and effective. The DOE/YMPO surveillance team was well prepared and was familiar with the SAIC/T&MSS QAPP requirements and relevant implementing procedures for the areas surveilled. The checklists for this surveillance were well prepared and used effectively in determining the adequacy of procedural controls under Criteria 2, 4 and 17. The auditors were thorough and professional in conducting the surveillance, and did not hesitate to depart from the Checklist items to ascertain information required to determine the status and adequacy of procedural implementation.

The NRC staff observer and the DOE/YMPO surveillance team were able to review all pertinent personnel qualifications and training documents. The SAIC/T&MSS personnel were cooperative and open in responding to questions and information requests by the surveillance team and the NRC staff observer.

The NRC staff agrees with the DOE/YMPO surveillance team's preliminary conclusions that the SAIC/T&MSS QA program provides adequate procedural controls under the criteria surveilled. The staff also agrees with surveillance team's conclusion regarding the adequacy and status of procedural implementation under the criteria surveilled.

SURVEILLANCE OBSERVATION REPORT NO. 91-S9

1.0 INTRODUCTION

The U.S. Department of Energy (DOE) Office of Civilian Radioactive Waste Management (OCRWM) Yucca Mountain Site Characterization Project Office (YMPO) is responsible for the Yucca Mountain Site Characterization Project (YMP) activities to study and evaluate the suitability of the Yucca Mountain site for developing and licensing of a geologic repository in the State of Nevada. These YMP activities include site characterization, scientific investigations, facility and equipment design, procurement, and construction, facility operations, performance confirmation, permanent closure, and decontamination and dismantling of surface facilities. All these activities are being conducted under an OCRWM-approved quality assurance (QA) program. The YMPO QA program is based on the requirements of the OCRWM Quality Assurance Requirements Document (QARD), Revision 4 and Quality Assurance Program Description (QAPD), Revision 3.

On May 9 and 10, 1991, the DOE/YMPO conducted a QA surveillance (YMP-SR-91-018) of the YMPO QA program at Las Vegas, Nevada. This surveillance was conducted in accordance with the OCRWM Quality Management Procedure (QMP)-18-02, Revision 2, "Surveillance." A member of the U.S. Nuclear Regulatory Commission (NRC) staff participated in the surveillance as an observer. This report documents the staff's assessment of the effectiveness of the DOE/YMPO surveillance, the adequacy of the YMPO QA program procedural controls and the status of their implementation under Criteria 2, 4 and 17 of the Code of Federal Regulations Title 10, Part 50, Appendix B.

2. PURPOSE

This DOE/YMPO surveillance evaluated the adequacy of procedural controls and the status of their implementation under selected program elements of the YMPO QA program. The staff's purpose in observing this surveillance was to gain confidence that DOE is properly implementing the requirements of its QA program by assessing the effectiveness of the DOE/YMPO surveillance and determining the adequacy of the YMPO QA program in the areas surveilled.

3. SCOPE

The DOE/YMPO surveillance team selected Criteria 2, 4 and 17 requirements from the OCRWM QAPD for review and assessment of adequacy of procedural controls and status of procedural implementation. The OCRWM and YMPO procedural controls associated with the review of the System Requirements (SR), System Description (SD), Repository Design Requirements (RDR), the Exploratory Studies Facility Design Requirements (ESFDR) document, the

Site Characterization Program Baseline (SCPB) document, and associated change control and personnel training records were reviewed and evaluated. The scope of this surveillance did not include any review of the technical adequacy and qualification of technical products such as technical documents or data.

4. SURVEILLANCE PARTICIPANTS

DOE/YMPO

Donald J. Harris	Surveillance Team Leader, Harza Engineering Company
Terry W. Noland	Surveillance Team member, Westinghouse Electric Corporation
Kenneth T. McFall	Surveillance Team member, Science Applications International Corporation

NRC

Tilak R. Verma	Observer

STATE OF NEVADA

Susan W. Zimmerman	Observer

5.0 SURVEILLANCE SUMMARY RESULTS

The DOE/YMPO surveillance team conducted a detailed examination and review of the review packages for SR, SD, RDR, and SCPB. Personnel qualification and training records associated with the review of these documents were also reviewed and examined by the surveillance team. The surveillance team interviewed several YMPO personnel to assess their knowledge of relevant QA requirements and applicable implementing procedures under each criterion surveilled. The surveillance team used checklists and questions that were based on OCRWM QMP-02-01, Revision 2, "Project Office Indoctrination and Qualification Training;" QMP-03-09, Revision 2, Interim Change Notice (ICN) #1, "Project Office Change Control Board Process;" QMP-06-04, Revision 2, "Project Office Document, Review, Approval and Revision Process;" YMPO Administrative Procedure (AP)-3.3Q, Revision 3, ICN #1, "Change Control Process;" AP-1.5Q, Revision 4, "Issuance and Maintenance of Controlled Documents;" and QMP-17-01, Revision 3, "Records Management: Record Source Implementation."
The surveillance team was thorough in its review of documents and in ascertaining relevant information from its questioning of YMPO personnel.

The surveillance team concluded that the YMPO QA program provides adequate controls under the criteria surveilled. With the exception of one minor procedural violation, the team found that the procedural implementation was adequate and satisfactory for processing the SD, SR, RDR, ESFDR, and SCPB through the Change Control Board (CCB). The surveillance team identified a potential Corrective Action Request (CAR) for a minor procedural violation associated with the required training; for four of the reviewers, training was in fact accomplished after the document was reviewed.

6.0 YMPO/CONTRACTOR PERSONNEL CONTACTED DURING THE SURVEILLANCE

Bonnie Fogdall, Configuration Management Specialist, Technical & Management Support Services (T&MSS)
Kevin Harbert, Configuration Management Division Manager, T&MSS
George D. Dymmel, Systems Branch Chief, YMPO
Kenneth Beal, Assistant Project Manager, Project Management, T&MSS
Russ Riding, Plans and Procedures Division (PPD) Manager, T&MSS
J. M. Davenport, Senior Engineer, T&MSS
R. R. Schneider, Manager, Systems Engineering Department, T&MSS
Elaine Spangler, PPD, T&MSS
Paul Chadwick, Training Department
John Waddell, Assistant Project Manager, Technical Support, T&MSS

7.0 NRC CONCLUSIONS

The staff observer found the DOE/YMPO surveillance of the YMPO QA program useful and effective. The DOE/YMPO surveillance team was well prepared and was familiar with the OCRWM QARD and QAPD requirements and relevant OCRWM and YMPO implementing procedures for the areas surveilled. The checklists for this surveillance were well prepared and used effectively in determining the adequacy of procedural controls under Criteria 2, 4 and 17. The auditors were thorough and professional in conducting the surveillance, and did not hesitate to depart from the checklist items to ascertain information required to determine the status and adequacy of procedural implementation.

The NRC staff observer and the DOE/YMPO surveillance team were able to review all pertinent personnel qualifications and training documents. The YMPO and contractor personnel were cooperative and open in responding to questions and information requests by the surveillance team and the NRC staff observer.

The NRC staff agrees with the DOE/YMPO surveillance team's preliminary conclusions that the YMPO QA program provides adequate procedural controls under the criteria surveilled. The staff also agrees with surveillance team's conclusion regarding the adequacy and status of procedural implementation under the criteria surveilled.

*** BRACKETED PORTIONS INDICATE CHANGES RESULTING FROM 4/25/91 QA MEETING OR ADDED AS A RESULT OF NRC REVIEW ACTIONS.

ITEM	DESCRIPTION	STATUS	RECOMMENDATION FOR CLOSURE/REMARKS
3-90	NNWSI Core Handling Procedures	Open	DOE ~~submitted the Core Handling~~ procedures to the NRC staff in a 8/11/89 transmittal (Gertz to Stein). The issues raised in the YMP Surveillance Report (YMP-SR-89-134) will need to be resolved before this item can be closed. NRC will determine acceptability of implementation and adequacy of procedures when they are issued in final form and subsequently implemented. At the 11/8/90 QA meeting, DOE indicated that based on the prototype drilling at Apache Leap, the procedures have been revised and should be submitted for NRC review and comment before the end of 1990. No change in status resulting from 1/19/91 or 4/25/91 QA meetings.

4-90	Qualified QA Program before start of new site characterization activities.	Open	DOE has made a commitment to having a qualified QA program before the start of new site characterization activities. However, this item remains open up until the the NRC staff accepts the DOE QA program as qualified for the start of new site characterization activities. At the 11/8/90 QA meeting, NRC provided a letter (Linehan to Shelor dated 10/24/90) which addresses the acceptance of (6) participant QA programs. The LANL QA Program was accepted by the NRC 5/29/91. The NRC accepted the QARD/QAPD 12/3/90 (see open item 12-90). Subsequent NRC letters of 1/18/91 & 3/11/91 state that the OCRWM QA program is acceptable only for new site characterization activities associated with Midway Valley Trenching and Calcite-Silica Activities. NRC will also need clarification from DOE on the review and acceptance status of the Raytheon participant QA program. The 1/22/91 letter from L. Desell provides the Transition QA Program for Raytheon until the Raytheon QA program is established. NRC finds the DOE response to comments transmitted 2/13/91 for the T&MSS (SAIC) QA program acceptable. NRC is waiting for the incorporation of these responses into the T&MSS program in order to prepare the NRC Safety Evaluation.
6-90	SCA comments	Open	Responses provided to NRC 12/14/90 are presently under NRC management review.
10-90	Responses to NRC Observation Audits		DOE should respond within 30 days after NRC Observation Audit Report transmittal. The DOE responses are to be reviewed and considered by NRC staff in accepting DOE QA programs. DOE should respond to the following NRC staff Observation Audit Reports:

10.d	Sandia Ntl. Lab.	Closed	(2) observations: * Resolution of allegations concerning inadequate quality per AP-5.8Q. * Retention of audit and surveillance checklists as QA records. The 5/28/91 DOE response is acceptable to the NRC staff and will be discussed at the 6/25/91 meeting.
11-90	DOE QA Participants Acceptance Letter Dated 10/24/90	Open	DOE should provide a response to the open items for the following DOE participant QA programs: FSN - Procurement Software H&N - Procurement Software REECo - Privacy Act - NRC evaluating 6/17/91 DOE letter indicating resolution. USGS - Privacy Act - NRC evaluating 6/3/91 DOE letter indicating resolution.
12-90	DOE QARD/QAPD Acceptance Letter Dated 12/3/90	Open	DOE should provide a response to the (6) open items listed for the NRC review of the QARD/QAPD.
1-91	NRC 4/15/91 letter accepting QARD/QAPD for MRS & Transport of Spent Fuel	Open	DOE should provide a response to the (5) comments listed for the NRC review of the QARD/QAPD pertaining to MRS & transport of spent fuel.

NRC
MTG.

QA WORKSHOP STATUS

1. SCIENTIFIC WORKSHOP

The Quality Integration Group (QIG) met May 28 & 29, 1991, in Las Vegas to review the YMP QARD, with special consideration being given to eliminating Section 20, Appendix A. The QIG conducted an indepth review of the requirements of Section 20 and agreed that Section 20 can be eliminated and the requirements addressing scientific investigations be incorporated in Section 3 design control.

The QIG provided QA Management their recommended rewrite of Section 20 for inclusion in Section 3 of the QARD June 5, 1991 for their review and acceptance.

2. SOFTWARE WORKSHOP

A Software Advisory Group meeting was held June 5-7 at the RE/SPEC facilities in Albuquerque. Representatives from the IEEE Computer Society made presentations on Verification and Validation, and Configuration Management. The meeting resulted in the rewrite of Section 19 in the areas of Software Verification, Software Validation, Model Validation, Configuration Management, and Discrepancy Reporting. A presentation was given by LANL on their Software Quality Assurance Program. The areas addressed were life cycle and verification and validation.

A report was made at the meeting on the successful rewrite, by SNL, of their Software Quality Assurance Plan. Clarification of Section 19 requirements was discussed during the software workshops held earlier this year. The rewrite was a direct result of the software work shops.

SAG wa informed that there is a movement in the Project Office to incorporate Section 19 into the first 18 criteria. This was discussed and SAG strongly recommends to project management that Section 19 remain.

The next SAG meeting is scheduled for June 19 - 21 in Denver at the USGS facilities. At this meeting SAG will complete the rewrite of Section 19.

3. QA GRADING WORKSHOP

QA Grading Workshop pending management vision statement.

PROCEDURES CONSOLIDATION EFFORT - PHASE I

SCHEDULE

QAAP	Input	Complete Preliminary Draft QAAP	Initial Review of Preliminary Draft by HQ/YMP	Resolve Initial Comments and Prepare Formal Review Draft	Complete OCRWM Review of Draft QAAP	Resolve and Incorporate Review Comments	Complete QAAP Approval and Printing	Issue QAAP
1.1	Complete	Complete	Complete (R)	06/21/91	07/05/91	07/12/91	07/19/91	07/31/91
2.1	Complete	Complete [1] (R)	NA	Complete (R)	06/24/91 (R)	06/28/91	06/30/91	07/01/91
2.2	Complete	Complete	Complete	Complete	06/28/91	07/19/91	07/26/91	07/31/91
2.3	On Hold	-	-	-	-	-	-	07/31/91
2.6	Complete	Complete	Complete	Complete	06/28/91	07/12/91	07/19/91	07/31/91
2.7	Complete	Complete	Complete	Complete	06/28/91	07/12/91	07/19/91	07/31/91
2.9	Complete	Complete	Complete	Complete	Complete	Complete	06/28/91	07/08/91
3.3	Complete	Complete	Complete (R)	06/21/91	07/05/91	07/12/91	07/19/91	07/31/91
5.1	Complete	Complete	06/28/91 (R)	07/05/91 (R)	07/19/91 (R)	07/26/91 (R)	07/30/91 (R)	07/31/91
6.2	Complete	06/21/91 (R)	06/28/91 (R)	07/05/91 (R)	07/19/91 (R)	07/26/91 (R)	07/30/91 (R)	07/31/91
15.1	Complete	06/14/91 [2] (R)	(R)	(R)	(R)	(R)	(R)	Phase II (R)
16.1	Complete	06/21/91 (R)	06/28/91 (R)	07/05/91 (R)	07/19/91 (R)	07/26/91 (R)	07/30/91 (R)	07/31/91
16.2	Complete	Complete	Complete (R)	06/21/91	07/05/91	07/12/91	07/19/91	07/31/91
18.1	Complete	Complete	06/14/91	06/21/91	07/05/91	07/19/91	07/26/91	07/31/91
18.2	Complete	Complete	Complete	Complete	06/28/91	07/05/91	07/19/91	07/31/91
18.3	Complete	Complete	Complete	Complete (R)	06/28/91	07/12/91	07/19/91	07/31/91

(R) Revisions from the previous week

1 Revised to separate proposed consolidated QAAP into one procedure for HQ and one for YMP.

2 Development of proposed consolidated QAAP deferred to Phase II effort.

06/21/91

ATTACHMENT II
June 20, 1991

WORKING SCHEDULE FOR THE DEVELOPMENT OF THE QARP

GROUP	SECTION	DESCRIPTION	RSP	SCHED	FORECAST	ACTUAL
1	-	Format Ref.& Req.Matrices	HQ	06/07/91	---	06/07/91
	-	Issue Writer's Pkg	HQ	06/14/91	---	06/14/91
	1	Organization	YMP	06/21/91	06/21/91	/ /91
	2	Quality Assurance	HQ	06/21/91	---	06/18/91
	3	Design Control	HQ	06/21/91	---	06/19/91
	-	Preface/Policy Statement	YMP	06/21/91	06/21/91	/ /91
2	4	Procurement Document Ctrl	HQ	06/28/91	06/28/91	/ /91
	5	Instruct,Proced.,Plans,Dwgs	HQ	06/28/91	06/27/91	/ /91
	6	Document Control	HQ	06/28/91	06/27/91	/ /91
	7	Ctrl Purchsd Itms & Servcs	HQ	06/28/91	06/28/91	/ /91
	17	QA Records	HQ	06/28/91	06/28/91	/ /91
	S-I	Computer Software	YMP	06/28/91	06/28/91	/ /91
	18	Audits	YMP	06/28/91	06/28/91	/ /91
	Fg1	CRWM (Incl.Partic.)	YMP	06/28/91	06/28/91	/ /91
	Fg2	OCRWM Organ. (RWs)	YMP	06/28/91	06/28/91	/ /91
	Fg3	CRWM QA Org. (All)	YMP	06/28/91	06/28/91	/ /91
3	8	ID & Ctrl Mat'l,Parts,Comp	YMP	07/05/91	/ /91	/ /91
	9	Control of Processes	YMP	07/05/91	/ /91	/ /91
	10	Inspection	YMP	07/05/91	/ /91	/ /91
	11	Test Control	YMP	07/05/91	/ /91	/ /91
	12	Ctrl of Meas.& Test Equip	YMP	07/05/91	/ /91	/ /91
	13	Handlng,Storge,& Shipping	YMP	07/05/91	/ /91	/ /91
	14	Inspect.,Test & Op.Status	YMP	07/05/91	/ /91	/ /91
	15	Ctrl of Nonconfming Items	YMP	07/05/91	/ /91	/ /91
	16	Corrective Action	YMP	07/05/91	/ /91	/ /91
4	-	Introduction	YMP	07/12/91	/ /91	/ /91
	-	Part.Appl.Mx.(w/HQ input)	YMP	07/12/91	/ /91	/ /91
	A	WASTE ACCEPT	HQ	07/12/91	/ /91	/ /91
	B	TRANSPORTATION	HQ	07/12/91	/ /91	/ /91
	C	MRS	HQ	07/12/91	/ /91	/ /91
	D	MGDS(incl.Sci.Investig.)	YMP	07/12/91	/ /91	/ /91
5	-	RW # / Title Page	HQ	07/16/91	/ /91	/ /91
	-	File Trnsfr/Consolidation	YMP	07/16/91	/ /91	/ /91
	-	Abbreviations & Acronyms	HQ	07/16/91	/ /91	/ /91
	-	Complete Glossary	HQ	07/16/91	/ /91	/ /91
	-	Consolidate Document	HQ	07/16/91	/ /91	/ /91
	-	Lists of Figures/Tables	HQ	07/16/91	/ /91	/ /91
	-	Table of Contents	HQ	07/16/91	/ /91	/ /91
	-	Issue review draft	HQ	07/19/91	/ /91	/ /91
6	-	Complete draft review	Revwr	07/26/91	/ /91	/ /91
	-	Resolve comments	Writr	08/09/91	/ /91	/ /91
	-	Issue Concurrence Draft	HQ	08/16/91	/ /91	/ /91
	-	Get Concurrence Signatures	Writr	08/23/91	/ /91	/ /91
	-	Distribute Final Document	HQ	08/30/91	/ /91	/ /91
	-	Issue review draft	HQ	07/19/91	/ /91	/ /91
7	-	Finalize RP Matrix	HQ/YM	09/16/91	/ /91	/ /91
	-	Phase II Mgmt Plan/Sched	HQ/YM	09/27/91	/ /91	/ /91