



Department of Energy
Office of Civilian Radioactive Waste Management
Yucca Mountain Site Characterization Office
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SEP 22 1995

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ISSUANCE OF SURVEILLANCE RECORD YMP-SR-95-046 RESULTING FROM YUCCA MOUNTAIN QUALITY ASSURANCE DIVISION'S (YMQAD) SURVEILLANCE OF THE CIVILIAN RADIOACTIVE WASTE MANAGEMENT SYSTEM MANAGEMENT AND OPERATING CONTRACTOR (CRWMS M&O) AND SANDIA NATIONAL LABORATORIES (SNL) (SCPB: N/A)

Enclosed is the record of Surveillance YMP-SR-95-046 conducted by the YMQAD at the CRWMS M&O and SNL facilities in Las Vegas, Nevada, August 14-25, 1995.

The purpose of the surveillance was to determine the status of activities specified in "Transfer of Sandia National Laboratories to a Memorandum Purchase Order Under the Civilian Radioactive Waste Management System Management and Operating Contractor Prime Contract Transition Plan," YMP/95-04, Rev. 0.

This surveillance is considered completed and closed as of the date of this letter. A response to this surveillance record and any documented recommendations is not required.

If you have any questions, please contact either Mario R. Diaz at 794-7974 or Thomas J. Higgins at 794-7173.

Richard E. Spence, Director
Yucca Mountain Quality Assurance Division

YMQAD:MRD-4543

Enclosure:
Surveillance Record
YMP-SR-95-046

288050

YMP-5

9509280183 950922
PDR WASTE
WM-11 PDR

102.7
WM-11
NAD3

SEP 22 1995

cc w/encl:

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R. W. Clark, HQ (RW-3.1) FORS
T. A. Wood, HQ (RW-14) FORS
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Cyril Schank, Churchill County, Fallon, NV
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J. D. Hoffman, Esmeralda County, Goldfield, NV
Eureka County Board of Commissioners, Eureka, NV
Lander County Board of Commissioners, Battle Mountain, NV
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V. E. Poe, Mineral County, Hawthorne, NV
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J. D. Christensen, Kiewit/PB, Las Vegas, NV
R. R. Richards, SNL, Albuquerque, NM, M/S 1333
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OFFICE OF
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

QUALITY ASSURANCE SURVEILLANCE RECORD

SURVEILLANCE DATA

¹ORGANIZATION/LOCATION:
Civilian Radioactive Waste
Management System
Management and Operating
Contractor (CRWMS M&O), and
Sandia National Laboratories
(SNL), Las Vegas, Nevada

²SUBJECT:
CRWMS M&O/SNL Transition Plan

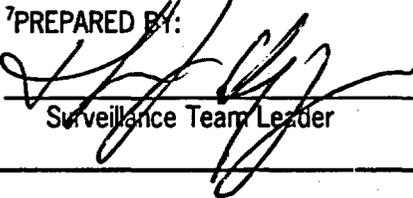
³DATE:
August 14 through 25, 1995

⁴SURVEILLANCE OBJECTIVE: Evaluate completion status of CRWMS M&O/SNL Transition Plan.

⁵SURVEILLANCE SCOPE:
Through interview of appropriate personnel and review of records, procedures, and documents, determine the status of the activities specified in the plan, "Transfer of Sandia National Laboratories to a Memorandum Purchase Order Under the Civilian Radioactive Waste Management System Management and Operating Contractor Prime Contract Transition Plan," YMP/95-04.

⁶SURVEILLANCE TEAM:
Team Leader:
Thomas J. Higgins
Additional Team Members:
N/A

⁷PREPARED BY:



Surveillance Team Leader

September 1995
Date

⁸CONCURRENCE:

N/A

QA Division Director

Date

SURVEILLANCE RESULTS

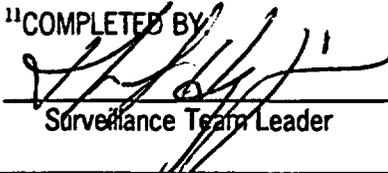
⁹BASIS OF EVALUATION/DESCRIPTION OF OBSERVATIONS:

See Page(s) 2 through 5

¹⁰SURVEILLANCE CONCLUSIONS:

See Page(s) 6

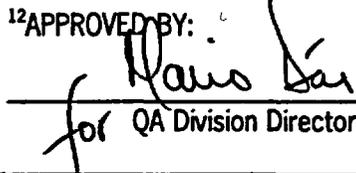
¹¹COMPLETED BY:



Surveillance Team Leader

9/19/95
Date

¹²APPROVED BY:



for QA Division Director

9/21/95
Date

BLOCK 9 (continued) BASIS OF EVALUATION/DESCRIPTION OF OBSERVATIONS:

This report contains an evaluation of progress of the transition described in "Transfer of Sandia National Laboratories to a Memorandum Purchase Order Under the Civilian Radioactive Waste Management System Management and Operating Contractor Prime Contract Transition Plan" (TP), YMP/95-04, Revision 0, May 1995.

The objective of this surveillance was to look at the progress in those transition tasks most closely related to the ability to perform quality-affecting work.

The TP defined a series of activities and tasks in the body of the document that are collected in Attachment I & II. The tasks evaluated during this surveillance are presented below along with an evaluation of current status.

ATTACHMENT I - M&O SNL TRANSITION SCHEDULE

QUALITY ASSURANCE (QA)

- **Prepare M&O Implementing Line Procedure (ILP) referencing SNL Quality Assurance Implementing Procedures (QAIPS)**

Development by SNL and release by M&O of an ILP per Quality Assurance Procedure (QAP)-5-2 which describes the SNL QAIP format, development and revision process.

Status: Near completion. The M&O has determined that it will develop this procedure as each transitioning Participant would have a similar task. A common procedure has been developed and is in the review process. It will be titled: Nevada Line Procedure (NLP)-5-2, "SNL, Los Alamos National Laboratory (LANL), Livermore National Laboratory (LLNL), and Lawrence Berkeley National Laboratory (LBNL) Alternate Procedure Format," Revision 0. The review copy was examined.

- **Update Organization QAIP**

Development and release of revised SNL QAIP 1-2 to reflect organizational changes resulting from the transition.

Status: Not yet begun. No revision to this SNL QAIP is anticipated at this time according to R. Richards, SNL QA Manager.

- **Initiate Procedure Comparison**

Comparison of SNL internal QA procedures against M&O (and perhaps other participants) to determine, upon mutual agreement between SNL and M&O, if the development of any common procedures would be beneficial to QA program implementation.

Status: Complete. The comparison of procedures resulted in the SNL and M&O management concluding that the development and issuance of common procedures was unnecessary. SNL personnel performing work under the new organization would still be doing so in their original environment.

ORGANIZATION

- **Define M&O Organizational Structure**

Development and issuance by the M&O of a detailed organizational structure for use in assigning SNL staff under the transition agreement.

Status: Complete. The M&O issued an organizational chart that details the organizational elements and subelements reporting to L. D. Foust, Assistant General Manager for the Nevada Site. It was signed by R. L. Robertson and L. D. Foust and is dated 8/2/95.

- **Assign SNL Staff to M&O Organizational Structure**

Identification of assignments of SNL non-overhead personnel to organizational entities defined in the previous action.

Status: Complete. The individual charts representing the following sample of elements/subelements from the organizational chart referenced above were examined:

- Training & Development (E. Iversen, Manager)
- Records Management (J. Verden, Manager)
- GeoEngineering (D. Kessel, Manager)
- Geochemistry/Volcanism (S. Nelson, Manager)
- Exploratory Studies Facility Test Coordination (N. Elkins, Manager)

- **Define Job Responsibilities**

Develop documentary descriptions of organizational functions, job descriptions, and responsibilities for SNL staff assigned to M&O organizations.

Status: This activity is incomplete. There was no positive response to the inquiry about the development of documented organizational functions (as distinct from the organizational chart that was discussed above). With regard to position descriptions, SNL believes the existing SNL position descriptions are adequate and appropriate. The GeoEngineering Manager stated that the development of new position descriptions was scheduled for Fiscal Year 1996.

ENVIRONMENT, SAFETY & HEALTH (ES&H) and TRAINING

• M&O Indoctrination Training

SNL personnel will receive M&O indoctrination training in accordance with the M&O training program.

Status: Incomplete. The M&O Quality Assurance and Procedures Training Manager stated that no SNL staff has been identified as working under the M&O QA program, but that the M&O training organization was reviewing the SNL orientation program with a view toward a common orientation. October 1, 1995 was the stated target date. The SNL Yucca Mountain Project (YMP) Training Manager has no knowledge of any M&O orientation and provided copies of the Training Attendance Records for the only "external" training provided to SNL staff. This training was provided by the Office of Civilian Radioactive Waste Management (OCRWM) QA and dealt with Administrative Procedure (AP) 16.1Q, Revision 0, and AP 16.2Q, Revision 0. These procedures address the corrective action program.

ATTACHMENT II - SNL QA TRANSITION PLAN

4.0 QA ACTIVITIES

The SNL QA Manager will provide the M&O QA Manager with the following information:

- Description of the QA activities performed by SNL
- Listing of suppliers on the DOE Quality Suppliers List used by SNL
- Listing of persons or organizations (other than SNL) who perform QA work under the SNL procedures
- The SNL QA organization description

Status: Complete. All deliverables have been transmitted by two letters from Robert A. Richards to Ronald Ruth, with the identical subject "LAB QA Transition Plan Deliverables," and dated August 9, 1995, and August 14, 1995.

PERSONNEL CONTACTED:

<u>NAME</u>	<u>ORGANIZATION</u>	<u>POSITION/TITLE</u>
M. Brady	SNL	SNL Laboratory Lead
R. Richards	SNL	SNL QA Manager
J. Blickley	SNL	SNL YMP Training Manager
R. Ruth	M&O	M&O QA Manager
J. Willis	M&O	M&O Nevada Site QA Manager
R. Justice	M&O	M&O QA Support Manager
C. Statton	M&O	Scientific Programs Operation Manager
V. Dulock, Jr.	M&O	Advanced Conceptual Design Project Engineer
M. Penovich	M&O	Quality Assurance & Procedures Training Manager
F. Arth	M&O	QA Engineer
K. Battacharyya	M&O	Repository Design Manager
D. Kessel	SNL	GeoEngineering Manager
H. Stafford	M&O	Information Management Manager

DOCUMENTS EXAMINED:

Procedures: NLP 5-2, Draft G (dated August 8, 1995), "SNL, LANL, LLNL, and LBNL Alternate Procedure Format"

QAIP 1-2, Revision 09, "Organization"

Yucca Mountain Site Characterization Project Training Attendance Record for classroom training presented by Charles Warren and Dennis Threat on 6/8/95 explaining procedures AP-16.1Q, and AP-16.2Q according to Lesson Plan TR05. The attendance record contained 47 signatures on three sheets.

Organization and staffing chart that details the organizational elements and subelements reporting to L. D. Foust, Assistant General Manager for the Nevada Site. It was signed by R. L. Robertson and L. D. Foust and is dated 8/2/95.

Letter: Robert R. Richards to Ronald Ruth, subject: LAB QA Transition Plan Deliverables, dated 8/9/95, numbered JCF 6319 jw 220 with attachments:

- Description of SNL QA Activities
- Listing of suppliers
- Listing of external entities using SNL procedures

Letter: Robert R. Richards to Ronald Ruth, subject: LAB QA Transition Plan Deliverables, dated 8/14/95, numbered JCF 6319 jw 226 with attachment:

- Organization chart

BLOCK 10, SURVEILLANCE CONCLUSIONS:

It is clear that the incorporation of SNL activities and staff under M&O direction is proceeding at a pace that allows its completion in the near future. From the perspective of this surveillance, the process appears smooth and well coordinated and should be successfully completed.

The activities identified as completed in BLOCK 9 were judged satisfactory and require no further comment. Those activities in progress or not yet begun are addressed below.

While the schedules in Appendixes I and II of the TP show that all specified transition activities were to be finished by August 5, 1995, the milestone marking completion of the transition appears at the end of September. Consequently, there is opportunity for activities that are incomplete or not yet begun to be addressed before the specified transition period ends.

Develop procedure NLP 5-2, Revision 0.

This procedure should soon be issued and is not a concern.

Revise QAIP 1-2, Revision 09, to reflect new organization.

The decision to forego the revision of this procedure at this time is questionable. It is strongly recommended that revision to address the new interfaces between M&O and SNL be undertaken immediately.

Develop documentary descriptions of organizational functions.

This activity has not begun. This activity should be completed.

Develop job descriptions and responsibilities of SNL staff assigned to M&O organizations.

This activity has not begun. The decision was made that the existing position descriptions and responsibilities were still applicable and new ones were unnecessary. This activity should be completed.

Indoctrinate SNL personnel in accordance with the M&O training program.

This activity has not begun. The decision to omit or postpone the conduct of M&O indoctrination would also appear questionable as it was included as a necessary element of the TP. This activity should be completed.

In conclusion, all commitments of the TP should be met as this document represents a formal agreement among the M&O, SNL, Yucca Mountain Site Characterization Project, and the Office of Quality Assurance. In addition, any unmet commitments that result in a failure to adequately implement QA program requirements will result in future requests for corrective action.