

*Office of Civilian Radioactive Waste Management*

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# *Quality Assurance Management Assessment Plan*

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*U.S. Department of Energy  
Washington, DC 20585*

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*Office of Civilian Radioactive Waste Management*

*Office of the Director  
Daniel A. Dreyfus  
Director*

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## **1.0 Introduction**

The purpose of this Quality Assurance (QA) Management Assessment Plan is to define the requirements for conducting the fiscal year (FY) 1996 Integrated QA Management Assessment of the Office of Civilian Radioactive Waste Management (OCRWM) and its major participants.

This plan incorporates the Director's vision to consolidate the responsibility for performing QA Management Assessments within OCRWM into a single organization. This unified approach will not only reduce costs, but will also provide a consistent overview and a broader perspective of how well the objectives of the Quality Assurance Program are being met.

The two principle objectives of the QA Management Assessment are to (1) evaluate the status, adequacy, and implementation effectiveness of OCRWM's Quality Assurance Program, and (2) identify areas where improvement is needed. The FY 1996 QA Management Assessment will be conducted by a small team of senior individuals from a single contractor. The OCRWM organization and its major participants will support the assessment team to the extent necessary to achieve these objectives.

The basis for performing an annual Quality Assurance Management Assessment stems from a commitment in OCRWM's Quality Assurance Requirements and Description (QARD) document. This commitment implements the requirements of Title 10, Code of Federal Regulations, Part 60, 71, and 72 for licensee management to regularly review the Quality Assurance Program.

The requirements of this plan take into account the Program's mission, priorities, current level of effort and need to achieve economies in all program elements. Therefore, the assessment will be limited to those issues that could impact the primary objectives of OCRWM's Quality Assurance Program.

## **2.0 Applicability**

The FY 1996 QA Management Assessment is applicable to the following OCRWM organizational components and program participants. These organizations perform work within the scope of OCRWM's QARD.

**OCRWM ORGANIZATIONAL COMPONENTS**

**Office of the Director (RW-1)  
Office of Quality Assurance (RW-3)  
Human Resources and Administration (RW-10)  
Program Management and Integration (RW-30)  
Waste Acceptance, Storage and Transportation (RW-40)  
Yucca Mountain Site Characterization Office (YMSCO)**

**PROGRAM PARTICIPANTS**

**U.S. Geological Survey (USGS)  
Las Alamos National Laboratory (LANL)  
Office of Eastern Operations (EM-32)  
OCRWM's Management and Operating Contractor (TESS)  
Lawrence Livermore National Laboratory (LLNL)  
Lawrence Berkeley Laboratory (LBL)  
Sandia National Laboratory (SNL)  
Kiewit/ParsonsBrinckerhoff (Kiewit/PB)**

An on-site evaluation of each of these organizations is planned during the 1996 Fiscal Year.

**3.0 Scope**

The assessment will evaluate the adequacy and effectiveness of the OCRWM Quality Assurance Program.

The key attributes to be evaluated during the assessment include:

- a) Effectiveness of procedural implementation.
- b) Adequacy and effectiveness of QA training.
- c) Adequacy and effectiveness of the corrective action program.
- d) Effectiveness of QA Program application to OCRWM Program elements considered critical to mission success.
- e) Adequacy of resources and personnel provided to achieve and assure quality.

The assessment will focus on the major issues surrounding these attributes for a determination of QA Program adequacy and effectiveness.

#### **4.0 Technical Approach**

The technical approach will be consistent with the Program's current appropriation status and level of effort. Accordingly, the areas evaluated, sample sizes of document reviews, and the number of individuals selected for interviews will reflect the current level of effort within the organization being assessed.

On-site visits prior to the actual assessment to familiarize the team with the organization being assessed and its current work scope are not planned. The need to familiarize the team will be taken into account during the actual assessment.

Observations of work in-progress, such as observing audits, surveillances, or QA classroom training, are not planned. However, the team will use this technique when practical during the assessment.

The team will use reports of previous audits, surveillances, assessments, trend analysis, recommendations, and other information sources as background information to the extent appropriate.

The team will use confidential questionnaires to obtain information on specific topics of interest prior to conducting the on-site assessment. Specific individuals representing a cross-section of management and the various staff levels will be identified and requested to complete a questionnaire. Management support may be needed to ensure that the questionnaire is completed by each individual on schedule. The assessment team will use the results of the questionnaire as input during the actual on-site assessment. This technique will facilitate the assessment.

Interviews of cognizant personnel will be conducted. The team will select specific individuals for interview from both management and staff positions. The interview will solicit information, opinions, and conclusions from each individual in regard to their experience in executing the quality assurance program. Information obtained during the interviews will be evaluated and used as input, as appropriate, to the assessment.

To the extent considered meaningful, selected performance indicators will be used by the assessment team as a basis for determining effectiveness.

The assessment will evaluate and report the status of commitments resulting from previous assessment recommendations.

The Assessment Team Leader is responsible for determining the appropriate depth and breadth of each assessment.

Conclusions will be reached by the Assessment Team Leader regarding the adequacy and effectiveness of the Quality Assurance Program. These conclusions will be based on an analysis of the data obtained from document reviews, questionnaires, interviews, and observations of work in-progress as applicable.

The assessment team will be made up of three senior individuals. Each of these individuals is qualified to lead an assessment. Factors such as the level of effort at the organization being assessed will be used to determine the assessment team size and duration on-site. Cooperation and support from each organization will be needed to keep the team size and duration to a minimum. The Assessment Team Leader is delegated the authority to determine the assessment team size, duration, and the level of support needed from the organization being assessed. Senior management support from each organization will be a key factor to the success of the assessment.

The integrated assessment will be conducted according to the process specified in QAP 2.7. *Management Assessments*. The revision in effect at the time each assessment is performed will be used.

Programmatic or hardware deficiencies, if identified during the assessment, will be promptly reported to the appropriate individuals by the Assessment Team Leader.

## 5.0 Schedule

A preliminary schedule has been developed to plan the on-site assessments sufficiently in advance to minimize the impact on program activities currently underway. The need, however, for the schedule to be flexible is recognized. Therefore, the final assessment schedule will be mutually agreed upon between the Assessment Team Leader and management of the organization being assessed.

**QA MANAGEMENT ASSESSMENT SCHEDULE**

M&O / Las Vegas	March 4-8, 1996
Las Alamos National Laboratory	March 25-29, 1996
U.S. Geological Survey	April 8-12, 1996
Sandia National Laboratory	April 22-26, 1996
Lawrence Berkeley Laboratory	April 29-30, 1996
Lawrence Livermore National Laboratory	May 1-3, 1996
Kiewit/PB	May 20-24, 1996
M&O / Vienna	June 10-12, 1996
EM-32	June 24-28, 1996
Yucca Mountain Site Characterization Office	July 22-26, 1996
OCRWM / Washington, DC	August 1-2, 1996

The organization undergoing the assessment will support the assessment team in scheduling interviews and meetings.

**6.0 Assessment Report**

A brief preliminary report for each assessment will be issued within three weeks of the end of the on-site visit. The preliminary report will consist of an executive summary of the observations and recommendations identified during the assessment. The preliminary report will be distributed to OCRWM management and management of the assessed organization.

The assessed organization will respond to the recommendations in the preliminary report as appropriate to initiate necessary corrective actions in a timely manner.

The final report will summarize the results of the integrated QA Management Assessment and conclusions drawn by the assessment team with regard to the adequacy and effectiveness of the OCRWM Quality Assurance Program. Recommendations will be clearly and briefly stated. Personnel contacted during the assessment will also be identified with the exception of those requesting anonymity.

A draft of the final report will be submitted to the Director for review by August 30, 1996. The approved final report will be issued by September 30, 1996. The final report will be distributed to OCRWM management and management of the affected organizations.

The quality records package for the assessment will contain supporting information such as any conditions adverse to quality that were identified during the assessment, team member training, personnel contacted during the assessment, and the assessment plan.

#### 7.0 Assessment Team

Wayne E. Booth, Thomas R. Colandrea, and John R. Longenecker of Quality Service Associates, Inc. make up the assessment team. Any one of these individuals may function as an Assessment Team Leader. Wayne Booth, as the Program Manager, has overall responsibility for coordinating the integrated assessment and ensuring consistency. Team Members may be contacted as necessary to facilitate coordination.

Wayne E. Booth	Program Manager	410-573-4600
Thomas R. Colandrea	Senior QA Specialist	619-487-7510
John R. Longenecker	Senior Management Specialist	619-792-6031

Each team member will receive the requisite indoctrination and training for conducting QA Management Assessments as required by the OCRWM Quality Assurance Program.

Documentation of indoctrination and training, and personnel qualifications and experience will be contained in the Quality Records Package for each individual.