

FY 1996 OCRWM QA Management Assessment

**Preliminary Report for the
Lawrence Livermore National Laboratory
Yucca Mountain Project**

Performed by

Quality Service Associates, Inc.

for the

Office of Civilian Radioactive Waste Management

Contract No. DE-AC-01-96RW00316

June 27, 1996

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Introduction: The FY 1996 QA Management Assessment is an integrated assessment of OCRWM and its major participants. The QA Management Assessment has two principal objectives: (1) evaluate the status, adequacy, and implementation effectiveness of OCRWM's Quality Assurance Program, and (2) identify areas where improvement is needed.

A final report summarizing 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 will be provided to the OCRWM Director at the conclusion of all assessments. Preliminary reports consisting of an executive summary of the observations and recommendations identified during the individual assessments are also provided to the OCRWM Director after each assessment.

This preliminary report summarizes the observations and recommendations identified during the assessment of the Lawrence Livermore National Laboratory (LLNL), Yucca Mountain Project.

On-site Assessment Dates: May 8-10, 1996, in Livermore, California.

Assessment Team: Wayne E. Booth

Conclusions: Based on the attributes evaluated during this assessment the LLNL QA Program is determined to be adequate and effective except for implementation of the LLNL surveillance program.

Previous QA Management Assessment Recommendations: The previous QA Management Assessment (94-01) did not identify any concerns that required follow up action. The report did, however, contain several recommendations to improve the overall quality assurance program at LLNL. These recommendations were addressed by the Technical Project Officer and the FY 1994 QA Management Assessment was properly closed.

Executive Summary of Observations and Recommendations: The following attributes were assessed to determine Quality Assurance Program adequacy and effectiveness at LLNL.

1. *Effectiveness of Procedural Implementation:*

Observation: LLNL has developed the required administrative procedures to implement the programmatic requirements of OCRWM's Quality Assurance Requirements and Description (QARD) for the work they are performing on the Yucca Mountain Project.

Electronic copies of these procedures are available to LLNL staff through the computer network. Almost all of the administrative procedures are being revised to either incorporate revision 5 of the QARD or make other necessary programmatic changes.

LLNL has also developed technical implementing procedures to control laboratory and field activities. These procedures appear to adequately cover the activities currently being performed by LLNL.

Recommendations: None.

2. ***Adequacy and Effectiveness of QA Training:***

Observation: The formal QA training program consists of classroom training and self-study training focussing on the requirements of both administrative procedures and technical implementing procedures.

Classroom training is usually provided to new members of the staff or to address major programmatic changes. The self-study program, coupled with classroom training, appears to be adequate and effective.

Recommendations: None

3. ***Adequacy and Effectiveness of the Corrective Action Program:***

Observation: Five (5) deficiencies were identified between January 1995 and October 1995 as a result of internal surveillances conducted by the LLNL QA Manager. Response by LLNL's management to correct the deficiencies was prompt, although some deficiencies required several schedule extensions before corrective action was implemented. The corrective action history for each deficiency was well documented.

Recommendations: None.

4. ***Effectiveness of QA program application to OCRWM program elements considered critical to mission success:***

Observation: (LLNL Surveillances) Nine (9) internal surveillances were conducted between January 1995 and October 1995. These surveillances were thorough and effective. However, a concern was noted that there were no internal surveillances conducted between October 1995 and May 1996. In fact, the surveillance program for FY 1996 was essentially terminated as a result of QA staff reductions. Although a non-specific surveillance schedule does exist, the ability of the LLNL QA Manager to keep pace with existing work and implement an effective surveillance program without

additional resources is questionable at this time.

Recommendation No. 1: (LLNL Surveillances) It is recommended that the LLNL surveillance program be re-established and implemented to ensure a comprehensive evaluation of important laboratory and field work currently underway and planned through FY 1996.

YMQAD Audit No. YM-ARC-96-11 contains essentially the same recommendation. The Office of Quality Assurance will follow up on the recommendation independent of this QA Management Assessment.

5. *Adequacy of resources and personnel provided to achieve and assure quality:*

Observation: The FY 1996 budget reductions significantly impacted the LLNL surveillance program such that it is ineffective. The nature and complexity of ongoing and planned work necessitate a comprehensive surveillance program to evaluate the work being performed from a QA perspective.

Recommendation No 2: It is recommended that LLNL management provide the resources necessary to re-establish the surveillance program through FY 1996.

Programmatic/Hardware Deficiencies: No programmatic or hardware deficiencies were identified during this assessment.