

**U.S. DEPARTMENT OF ENERGY**  
**OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT**  
**(OCRWM)**  
**OFFICE OF QUALITY ASSURANCE**  
**ANNUAL SUMMARY OF**  
**OCRWM AND OTHER AFFECTED ORGANIZATIONS'**  
**QUALITY ASSURANCE PROGRAMS**  
**FISCAL YEAR 1996**

Approved by: James B. Layton for Date: 12/12/96  
Donald G. Horton  
Director  
Office of Quality Assurance

Enclosure

**SUMMARY OF AUDITS AND SURVEILLANCES  
PERFORMED BY THE OFFICE OF QUALITY ASSURANCE  
DURING FISCAL YEAR 1996**

**SECTION I**

**INTRODUCTION**

The following provides an analysis of audits, surveillances, and reviews performed by the Office of Civilian Radioactive Waste Management (OCRWM), Office of Quality Assurance (OQA). This analysis is used to evaluate the overall effectiveness of the OCRWM quality program.

Audit bases include the OCRWM *Quality Assurance Requirements and Description (QARD)* DOE/RW/0333P, and the appropriate quality-implementing procedures.

Audits were conducted in accordance with the OCRWM Quality Assurance Procedure (QAP) 18.2, *Internal Audit Program* and surveillances were conducted in accordance with QAP 2.8, *Surveillance*. The Quality Assurance (QA) Program as described in the QARD and applicable implementing procedures has been, for the most part, determined to be satisfactory.

This report provides an overall element-by-element summary of the QA Program status of OCRWM and other Affected Organizations (AO) (Chart 1). A narrative is included in Section II to provide additional insight into verification activities, program applicability, and implementation status. Individual organizations and verification results are also summarized in Section III. (See Tables 1 through 10)

**SUMMARY OF QA PROGRAM EFFECTIVENESS**

The OCRWM QA Program, as described in the QARD and the AOs' implementing procedures, has been determined to be satisfactory overall.

While several AOs' QA program elements were determined to be unsatisfactory, the nature of the conditions identified did not warrant immediate corrective action or a stop work order being issued. OQA is committed to track the corrective action status and take appropriate action when required, and the continued evaluation of the effectiveness of the AOs through the audit and surveillance process.

### CHART 1 - ANALYSIS OF QA PROGRAM EFFECTIVENESS

Program Element	HQ	YMSCO	EM-32	LANL	LBNL	LLNL	M&O	K/PB	SNL	USGS
1.0	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
2.0	M	M	✓	✓	✓	✓	M	✓	✓	✓
3.0		✓					✓	✓	✓	
4.0	✓	✓		●		✓	✓	✓	✓	●
5.0	✓	✓	●	✓	✓	✓	✓	●	●	✓
6.0	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
7.0	✓	✓		●	✓	✓	✓	✓	✓	●
8.0								✓		
9.0								M		
10.0								✓		
11.0								M		
12.0				✓	✓	●	✓	✓	✓	✓
13.0						✓		✓		
14.0								✓		
15.0		✓					✓	M		✓
16.0	✓	✓	✓	M	✓		✓	✓	●	●
17.0	✓	✓	✓	✓	✓	✓	✓	✓	●	✓
18.0	✓	✓	✓							
Supp. I				✓	✓	✓	✓		✓	✓
Supp. II		✓		✓	✓	✓	✓		✓	✓
Supp. III		✓		✓	✓	✓	✓		✓	M
Supp. IV								✓		
Supp. V		✓								
App. A	✓		✓							
App. B	✓						✓			
App. C							✓			

✓ = Satisfactory

M = Marginal

● = Unsatisfactory

Blank = No Implementation

Shaded = N/A to Work Scope

## **SECTION II - NARRATIVE DESCRIPTION**

### **OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT (OCRWM)**

**OCRWM Headquarters** - QA Program implementation was determined to be satisfactory except QA Program Element 2.0 for which implementation was determined to be marginal due to deficiencies identified in personnel qualification and training. QA Program Supplement I, Software, and Supplement V, Control of the Electronic Management of Data, were determined to be not implemented. OCRWM HQ has no responsibilities in the QARD for QA Program Elements 3.0, Design Control; 8.0, Identification and Control of Items; 9.0, Control of Special Processes; 10.0, Inspection; 11.0, Test Control; 12.0, Control of Measuring and Test Equipment; 13.0, Handling, Storage and Shipping; 14.0, Inspection, Test and Operating Status; 15.0, Nonconformances; Supplements II, Sample Control; III, Scientific Investigation; and IV, Field Surveying; and Appendix C, Mined Geologic Disposal System. Therefore, no verifications were performed in these areas. A total of 7 Deficiency Reports (DR) and 1 Corrective Action Report (CAR) were issued to OCRWM Headquarters (HQ) during Fiscal Year (FY) 1996. All DRs have been closed and the CAR (HQ-96-C-001) is pending completion of corrective action in December 1996. See Table 1 for a summary of OCRWM HQ QA Program evaluations.

### **YUCCA MOUNTAIN SITE CHARACTERIZATION OFFICE (YMSCO)**

**YMSCO** - QA Program implementation was determined to be satisfactory except QA Program Element 2.0, Quality Assurance Program, for which implementation was determined to be marginal due to deficiencies identified in personnel qualification and training. QA Program Elements 4.0, 11.0, 12.0, 13.0, Supplement I, Supplement IV, and Appendix C were determined to be not implemented. YMSCO has no responsibilities in the QARD for QA Program Elements 8.0, 9.0, 10.0, 14.0, and Appendices A, High-Level Waste Form Production, and B, Storage and Transportation; therefore, no verifications were performed in these areas. A total of 3 Performance Reports (PR), 15 DRs, and 1 CAR were issued to YMSCO during FY 1996. All PRs have been closed, 4 DRs have been closed, and the CAR has been closed. The remaining 11 DRs are pending responses and completion of corrective action. See Table 2 for a summary of YMSCO QA Program evaluations.

### **OTHER AFFECTED ORGANIZATIONS**

**EM-32** - QA Program implementation was determined to be satisfactory except QA Program Element 5.0 for which implementation was determined to be unsatisfactory. EM-32 has no responsibilities in the QARD for QA Program Elements 3.0, 4.0, 7.0, 8.0, 9.0, 10.0, 11.0, 12.0, 13.0, 14.0, 15.0, Supplements I, II, III, IV, and V, and Appendices B and C; therefore, no verifications were performed in these areas. A total of 2 PRs and 1 DR were issued to EM-32 in FY 1996. The PRs and DR are pending completion of corrective action in December 1996. See Table 3 for a summary of EM-32 QA Program evaluations.

**Los Alamos National Laboratory (LANL)** - QA Program implementation was determined to be satisfactory except QA Program Elements 4.0 and 7.0 for which implementation was determined

to be unsatisfactory and QA Program Element 16.0 for which implementation was determined to be marginal. Because no Nonconformance Reports had been generated by LANL since the last compliance audit, QA Program Element 15.0 was determined to be not implemented. LANL has no responsibilities in the QARD for QA Program Elements 3.0, 8.0, 9.0, 10.0, 11.0, 13.0, 14.0, 18.0, Supplement IV, Supplement V, and Appendices A, B, and C; therefore, no verifications were performed in these areas. A total of 1 PR and 12 DRs were issued to LANL during FY 1996. The PR has been closed, 5 DRs have been closed, and the remaining 7 DRs are pending responses and completion of corrective action. See Table 4 for a summary of LANL QA Program evaluations.

**Lawrence Berkeley National Laboratory (LBNL)** - QA Program implementation was determined to be satisfactory. QA Program Elements 4.0 and 15.0 were determined to be not implemented. LBNL has no responsibilities in the QARD for QA Program Elements 3.0, 8.0, 9.0, 10.0, 11.0, 13.0, 14.0, 18.0, Supplement IV, Supplement V, and Appendices A, B, and C; therefore, no verifications were performed in these areas. A total of 2 PRs and 2 DRs were issued to LBNL during FY 1996. The 2 PRs and 2 DRs have been closed. See Table 5 for a summary of the LBNL QA Program evaluations.

**Lawrence Livermore National Laboratory (LLNL)** - QA Program implementation was determined to be satisfactory except QA Program Element 12.0 for which implementation was determined to be unsatisfactory. QA Program Elements 8.0, 15.0, and 16.0 were determined to be not implemented. LLNL has no responsibilities in the QARD for QA Program Elements 3.0, 9.0, 10.0, 11.0, 14.0, 18.0, Supplement IV, Supplement V, and Appendices A, B, and C; therefore, no verifications were performed in these areas. A total of 1 PR and 4 DRs were issued to LLNL during FY 1996. The 1 PR and 3 DRs have been closed. The remaining DR (YM-96-D-055) is pending submittal of an amended response. See Table 6 for a summary of LLNL QA Program evaluations.

**CRWMS M&O** - QA Program implementation was determined to be satisfactory except for QA Program Element 2.0 for which implementation was determined to be marginal and QA Program Element 10.0 which was determined to be not implemented. The marginal determination for program element 2.0 was due, in part, to an unresolved deficiency regarding procedural implementation from FY 1995. The CRWMS M&O has no responsibilities for QA Program Elements 8.0, 9.0, 11.0, 13.0, 14.0, 18.0, Supplement IV, Supplement V, and Appendix A; therefore, no verification was performed in these areas. A total of 4 PRs, 22 DRs, and 2 CARs were issued to the CRWMS M&O during FY 1996. Three (3) PRs have been closed and the remaining PR (HQ-96-P-002) is pending verification and closure. Thirteen (13) DRs have been closed, 4 DRs are pending verification and closure, 3 DRs are pending submittal and acceptance of responses, and the remaining 2 DRs are pending completion of corrective action. The 2 CARs (YM-96-C-007 and YM-96-C-008) are pending completion of corrective action. See Table 7 for a summary of CRWMS M&O QA Program evaluations.

**Kiewit/Parsons Brinckerhoff (K/PB)** - QA Program implementation was determined to be marginal due to QA Program Element 5.0 for which implementation was determined to be unsatisfactory and QA Program Elements 9.0, 11.0, and 15.0 for which implementation was

determined to be marginal. K/PB has no responsibilities in the QARD for QA Program Element 18.0, Supplements I, II, III, and V, and Appendices A, B, and C; therefore, no verifications were performed in these areas. A total of 3 PRs and 11 DRs were issued to K/PB during FY 1996. The 3 PRs have been closed, 10 DRs have been closed, and the remaining DR (YM-96-D-074) is pending verification and closure. See Table 8 for a summary of K/PB QA Program evaluations.

**Sandia National Laboratories (SNL)** - QA Program implementation was determined to be marginal due to QA Program Elements 5.0, 16.0 and 17.0 for which implementation was determined to be unsatisfactory. QA Program Element 15.0 and Supplement V were determined to be not implemented. SNL has no responsibilities in the QARD for QA Program Elements 8.0, 9.0, 10.0, 11.0, 13.0, 14.0, 18.0, Supplement IV, and Appendices A, B, and C; therefore, no verifications were performed in these areas. A total of 3 PRs and 14 DRs were issued to SNL during FY 1996. The 3 PRs have been closed, 1 DR has been closed, 5 DRs are pending verification and closure, and 7 DRs are pending completion of corrective action. One DR (YM-96-D-004) is pending amended corrective action since verification determined the implementation of corrective action was unsatisfactory. See Table 9 for a summary of SNL QA Program evaluations.

**U.S. Geological Survey (USGS)** - QA Program implementation was determined to be marginal due to QA Program Supplement III for which implementation was determined to be marginal and QA Program Elements 4.0, 7.0, and 16.0 for which implementation was determined to be unsatisfactory. A CAR (YM-96-C-004) was issued against QA Program Elements 4.0 and 7.0 due to the identification of an adverse quality trend in procurement activities. QA Program Supplement V was determined to be not implemented. USGS has no responsibilities in the QARD for QA Program Elements 3.0, 8.0, 9.0, 10.0, 11.0, 13.0, 14.0, 18.0, Supplement IV, and Appendices A, B, and C; therefore, no verifications were performed in these areas. A total of 2 PRs, 4 DRs, and 3 CARs were issued to USGS during FY 1996. The 2 PRs have been closed, 2 DRs have been closed, 2 DRs are pending completion of corrective action, 2 CARs have been closed, and 1 CAR (YM-96-C-004) is pending submittal of an amended response. See Table 10 for a summary of USGS QA Program evaluations.

**SECTION III**

**OCRWM  
QUALITY PROGRAM  
EVALUATION**

<b><u>Affected Organizations</u></b>	<b><u>Table</u></b>
OCRWM Headquarters	1
OCRWM YMSCO	2
EM-32	3
LANL	4
LBNL	5
LLNL	6
M&O	7
K/PB	8
SNL	9
USGS	10

**EVALUATION OF OCRWM HEADQUARTERS QUALITY PROGRAM  
BASED ON FY 96 AUDIT AND SURVEILLANCE REPORTS**

**TABLE 1**

QA Program Element	Verification Number	Results of Verification Activity		
		PR/DR/CARs/Issued	Current Status	Remarks
1.0	YM-ARC-96-17		S	
2.0	YM-ARC-96-17 HQ-SRC-96-02	HQ-96-D-003 HQ-96-D-004 HQ-96-D-005 HQ-96-D-006 HQ-96-D-007 HQ-96-C-001	M	D-003 was closed 10/25/96 D-004 was closed 10/25/96 D-005 was closed 10/25/96 D-006 was closed 10/25/96 D-007 was closed 10/25/96 C-003 is pending CA
3.0	N/A		N/A	
4.0	YM-ARC-96-17		S	
5.0	YM-ARC-96-17		S	
6.0	YM-ARC-96-17		S	
7.0	YM-ARC-96-17		S	
8.0	N/A		N/A	
9.0	N/A		N/A	
10.0	N/A		N/A	
11.0	N/A		N/A	
12.0	N/A		N/A	
13.0	N/A		N/A	
14.0	N/A		N/A	
15.0	N/A		N/A	
16.0	YM-ARC-96-17	HQ-96-D-010	S	D-010 was closed 10/9/96
17.0	YM-ARC-96-17	HQ-96-D-008	S	D-008 was closed 7/5/96
18.0	YM-ARC-96-17	HQ-96-D-010	S	D-010 was closed 10/9/96
Supp. I	YM-ARC-96-17		NI	
Supp. II	N/A		N/A	
Supp. III	N/A		N/A	
Supp. IV	N/A		N/A	
Supp. V	YM-ARC-96-17		NI	
App. A	YM-ARC-96-17		S	
App. B	YM-ARC-96-17		S	
App. C	N/A		N/A	

Status: S = Satisfactory                      U = Unsatisfactory                      M = Marginal  
 N/A = Not Applicable per Scope of Work  
 NI = No Implementation

**Verifications and Dates:**

**Audits**

YM-ARC-96-17, 7/15-18/96

**Surveillances**

HQ-SRC-96-02, 4/8-16/96



**EVALUATION OF OCRWM YMSCO QA PROGRAM  
BASED ON FY 96 AUDIT AND SURVEILLANCE REPORTS  
TABLE 2**

QA Program Element	Verification Number	Results of Verification Activity		
		PR/DR/CARs/Issued	Current Status	Remarks
1.0	HQ-ARC-96-03		S	
2.0	HQ-ARC-96-03 YM-ARP-96-01 YM-ARP-96-08 YMP-SR-96-022 YMP-SR-96-027	YM-96-P-028 YM-96-P-031 YM-96-D-008 YM-96-D-009 YM-96-D-047 YM-96-D-091 YM-96-D-095 YM-96-D-096 YM-96-D-097 YM-96-D-103	M	P-028 was closed 9/25/96 P-031 was closed 10/18/96 D-008 was closed 1/10/96 D-009 was closed 7/22/96 D-047 was closed 8/21/96 Other DRs are pending responses and corrective action.
3.0	HQ-ARC-96-03	YM-96-C-003	S	C-003 was closed 4/17/96
4.0	HQ-ARC-96-03		NI	
5.0	HQ-ARC-96-03 YMP-SR-96-002 YM-ARP-96-08 YMP-SR-96-012	YM-96-P-011 YM-96-D-059 YM-96-D-102	S	P-011 was closed 8/19/96 D-059 is pending CA D-102 is pending CA
6.0	HQ-ARC-96-03 YM-ARP-96-08	YM-96-D-098 YM-96-D-099	S	D-098 is pending CA D-099 is pending CA
7.0	HQ-ARC-96-03 YMP-SR-96-005	YM-96-D-015	S	D-015 was closed 2/28/96
8.0	N/A		N/A	
9.0	N/A		N/A	
10.0	N/A		N/A	
11.0	HQ-ARC-96-03		NI	
12.0	HQ-ARC-96-03		NI	
13.0	HQ-ARC-96-03		NI	
14.0	N/A		N/A	
15.0	HQ-ARC-96-03 YMP-SR-96-012		S	
16.0	HQ-ARC-96-03		S	
17.0	HQ-ARC-96-03 YM-ARP-96-08	YM-96-D-100	S	D-100 is pending response

**EVALUATION OF OCRWM YMSCO QA PROGRAM  
BASED ON FY 96 AUDIT AND SURVEILLANCE REPORTS  
TABLE 2 (continued)**

QA Program Element	Verification Number	Results of Verification Activity		
		PR/DR/CARs/Issued	Current Status	Remarks
18.0	HQ-ARC-96-03		S	
Supp. I	HQ-ARC-96-03		NI	
Supp. II	HQ-ARC-96-03 YMP-SR-96-016	YM-96-D-065	S	D-065 is pending response
Supp. III	HQ-ARC-96-03		S	
Supp. IV	HQ-ARC-96-03		NI	
Supp. V	HQ-ARC-96-03		S	
App. A	N/A		N/A	
App. B	N/A		N/A	
App. C	HQ-ARC-96-03		NI	

Status: S = Satisfactory      U = Unsatisfactory      M = Marginal  
 N/A = Not Applicable per Scope of Work  
 NI = No Implementation

**Verifications and Dates:**

**Audits**

HQ-ARC-96-03, 8/5-9/96  
 \*YM-ARP-96-01, 10/23-27/95  
 YM-ARP-96-08, 3/18-22/96

**Surveillances**

\*YMP-SR-96-002, 11/14-21/95  
 YMP-SR-96-005, 12/4-6/95  
 YMP-SR-96-012, 5/6-10/96  
 \*YMP-SR-96-016, 5/15/96-6/17/96  
 YMP-SR-96-022, 7/31/96-8/13/96  
 YMP-SR-96-027, 9/17/96

**Reviews**

10/27/95  
 12/5/95  
 5/7/96  
 6/10/96  
 8/8/96

\*Audits and surveillances performed on other Affected Organizations resulting in issuance of deficiency documents to YMSCO.

**EVALUATION OF EM-32 QA PROGRAM  
BASED ON FY 96 AUDIT AND SURVEILLANCE REPORTS  
TABLE 3**

QA Program Element	Verification Number	Results of Verification Activity		
		PR/DR/CARs Issued	Current Status	Remarks
1.0	HQ-ARC-96-02	HQ-96-P-004	S	P-004 is pending CA
2.0	HQ-ARC-96-02	HQ-96-D-009	S	D-009 is pending CA
3.0	N/A		N/A	
4.0	N/A		N/A	
5.0	HQ-ARC-96-02	HQ-96-P-005 HQ-96-D-009	U	P-005 is pending CA D-009 is pending CA
6.0	HQ-ARC-96-02		S	
7.0	N/A		N/A	
8.0	N/A		N/A	
9.0	N/A		N/A	
10.0	N/A		N/A	
11.0	N/A		N/A	
12.0	N/A		N/A	
13.0	N/A		N/A	
14.0	N/A		N/A	
15.0	N/A		N/A	
16.0	HQ-ARC-96-02		S	
17.0	HQ-ARC-96-02		S	
18.0	HQ-ARC-96-02		S	
Supp. I	N/A		N/A	
Supp. II	N/A		N/A	
Supp. III	N/A		N/A	
Supp. IV	N/A		N/A	
Supp. V	N/A		N/A	
App. A	HQ-ARC-96-02		S	
App. B	N/A		N/A	
App. C	N/A		N/A	

**EVALUATION OF EM-32 QA PROGRAM  
BASED ON FY 96 AUDIT AND SURVEILLANCE REPORTS  
TABLE 3 (continued)**

Status: S = Satisfactory      U = Unsatisfactory      M = Marginal  
N/A = Not Applicable per Scope of Work  
NI = No Implementation

**Verifications and Dates:**

**Audits**

**Surveillances**

HQ-ARC-96-02, 6/17-20/96

0

**EVALUATION OF LOS ALAMOS NATIONAL LABORATORY (LANL)  
QA PROGRAM BASED ON FY 96 AUDIT AND SURVEILLANCE  
REPORTS  
TABLE 4**

QA Program Element	Verification Number	Results of Verification Activity		
		PR/DR/CARs/Issued	Current Status	Remarks
1.0	YM-ARC-96-16		S	
2.0	YM-ARP-96-06 YM-ARP-96-14 YM-ARC-96-16 YMP-SR-96-008	YM-96-D-033	S	D-033 is pending CA
3.0	N/A		N/A	
4.0	YM-ARC-96-16	YM-96-D-073	U	D-073 is pending response
5.0	YM-ARP-96-06 YM-ARP-96-14 YM-ARC-96-16 YMP-SR-96-016	YM-96-P-029 YM-96-D-073	S	P-029 was closed 10/23/96 D-073 is pending response
6.0	YM-ARP-96-06 YM-ARP-96-14 YM-ARC-96-16 YMP-SR-96-014	YM-96-D-066	S	D-066 was closed 10/3/96
7.0	YM-ARC-96-16	YM-96-D-063	U	D-063 was closed 9/26/96
8.0	N/A		N/A	
9.0	N/A		N/A	
10.0	N/A		N/A	
11.0	N/A		N/A	
12.0	YM-ARP-96-06 YM-ARP-96-14 YM-ARC-96-16 YMP-SR-96-014	YM-96-D-067 YM-96-D-069	S	D-067 was closed 9/25/96 D-069 was closed 9/25/96
13.0	N/A		N/A	
14.0	N/A		N/A	
15.0	YM-ARP-96-06 YM-ARC-96-16		N/I	
16.0	YM-ARC-96-16	YM-96-D-068	M	D-068 was closed 9/25/96
17.0	YM-ARP-96-14 YM-ARC-96-16 YMP-SR-96-009	YM-96-D-105	S	D-105 is pending CA

**EVALUATION OF LOS ALAMOS NATIONAL LABORATORY (LANL)  
QA PROGRAM BASED ON FY 96 AUDIT AND SURVEILLANCE  
REPORTS**

**TABLE 4 (continued)**

QA Program Element	Verification Number	Results of Verification Activity		
		PR/DR/CARs/Issued	Current Status	Remarks
18.0	N/A		N/A	
Supp. I	YM-ARP-96-06 YM-ARC-96-16	YM-96-D-064	S	D-064 is pending CA
Supp. II	YM-ARP-96-06 YM-ARC-96-16 YMP-SR-96-014 YMP-SR-96-016		S	
Supp. III	YM-ARP-96-06 YM-ARC-96-16 YMP-SR-96-014	YM-96-D-106 YM-96-D-107 YM-96-D-108	S	D-106 is pending CA D-107 is pending CA D-108 is pending CA
Supp. IV	N/A		N/A	
Supp. V	N/A		N/A	
App. A	N/A		N/A	
App. B	N/A		N/A	
App. C	N/A		N/A	

Status: S = Satisfactory      U = Unsatisfactory      M = Marginal  
 N/A = Not Applicable per Scope of Work  
 NI = No Implementation

**Verifications and Dates:**

**Audits**

YM-ARP-96-06, 2/26-29/96  
 YM-ARP-96-14, 9/16-23/96  
 YM-ARC-96-16, 6/24-28/96

**Surveillances**

\*YMP-SR-96-008, 1/4-11/96  
 YMP-SR-96-009, 5/1/96 & 5/7/96  
 YMP-SR-96-014, 5/29/96  
 YMP-SR-96-016, 5/15/96-6/17/96

\*Surveillance performed on other Affected Organization resulting in issuance of deficiency document to LANL.

**EVALUATION OF LAWRENCE BERKELEY NATIONAL LABORATORY  
(LBNL) QA PROGRAM BASED ON FY 96 AUDIT AND SURVEILLANCE  
REPORTS  
TABLE 5**

QA Program Element	Verification Number	Results of Verification Activity		
		PR/DR/CARs/Issued	Current Status	Remarks
1.0	YM-ARC-96-02 YM-ARP-96-13		S	
2.0	YM-ARC-96-02 YM-ARP-96-04 YM-ARP-96-13	YM-96-D-038 YM-96-D-039	S	D-038 was closed 9/25/96 D-039 was closed 9/17/96
3.0	N/A		N/A	
4.0	YM-ARC-96-02 YM-ARP-96-04		NI	
5.0	YM-ARC-96-02 YM-ARP-96-04 YM-ARP-96-13	YM-96-P-013	S	P-013 was closed 1/18/96
6.0	YM-ARC-96-02 YM-ARP-96-13		S	
7.0	YM-ARC-96-02 YM-ARP-96-13		S	
8.0	N/A		N/A	
9.0	N/A		N/A	
10.0	N/A		N/A	
11.0	N/A		N/A	
12.0	YM-ARC-96-02 YM-ARP-96-04 YM-ARP-96-13		S	
13.0	N/A		N/A	
14.0	N/A		N/A	
15.0	YM-ARC-96-02		NI	
16.0	YM-ARC-96-02 YM-ARP-96-04 YM-ARP-96-13		S	
17.0	YM-ARC-96-02 YM-ARP-96-13	YM-96-P-012	S	P-012 was closed 1/18/96
18.0	N/A		N/A	

**EVALUATION OF LAWRENCE BERKELEY NATIONAL LABORATORY  
(LBNL) QA PROGRAM BASED ON FY 96 AUDIT AND SURVEILLANCE  
REPORTS**

**TABLE 5 (continued)**

QA Program Element	Verification Number	Results of Verification Activity		
		PR/DR/CARs/Issued	Current Status	Remarks
Supp. I	YM-ARC-96-02 YM-ARP-96-04 YM-ARP-96-13		S	
Supp. II	YM-ARC-96-02 YM-ARP-96-04		S	
Supp. III	YM-ARC-96-02 YM-ARP-96-04 YM-ARP-96-13		S	
Supp. IV	N/A		N/A	
Supp. V	N/A		N/A	
App. A	N/A		N/A	
App. B	N/A		N/A	
App. C	N/A		N/A	

Status: S = Satisfactory      U = Unsatisfactory      M = Marginal  
 N/A = Not Applicable per Scope of Work  
 NI = No Implementation

**Verifications and Dates:**

**Audits**

YM-ARC-96-02, 12/4-7/95  
 YM-ARP-96-04, 2/5-8/96  
 YM-ARP-96-13, 7/8-11/96

**Surveillances**

0



**EVALUATION OF LAWRENCE LIVERMORE NATIONAL  
LABORATORY (LLNL) QA PROGRAM BASED ON FY 96 AUDITS AND  
SURVEILLANCES REPORTS**

TABLE 6

QA Program Element	Verification Number	Results of Verification Activity		
		PR/DR/CARs/Issued	Current Status	Remarks
1.0	YM-ARC-96-11		S	
2.0	YM-ARC-96-11	YM-96-D-054 YM-96-D-057	S	D-054 was closed 9/27/96 D-057 was closed 10/11/96
3.0	N/A		N/A	
4.0	YM-ARC-96-11	YM-96-D-055	S	D-055 is pending response
5.0	YM-ARC-96-11	YM-96-P-026	S	P-026 was closed 9/27/96
6.0	YM-ARC-96-11		S	
7.0	YM-ARC-96-11		S	
8.0	YM-ARC-96-11		NI	
9.0	N/A		N/A	
10.0	N/A		N/A	
11.0	N/A		N/A	
12.0	YM-ARC-96-11	YM-96-D-056	U	D-056 was closed 10/11/96
13.0	YM-ARC-96-11		S	
14.0	N/A		N/A	
15.0	YM-ARC-96-11		NI	
16.0	YM-ARC-96-11		NI	
17.0	YM-ARC-96-11		S	
18.0	N/A		N/A	
Supp. I	YM-ARC-96-11		S	
Supp. II	YM-ARC-96-11		S	
Supp. III	YM-ARC-96-11		S	
Supp. IV	N/A		N/A	
Supp. V	N/A		N/A	
App. A	N/A		N/A	
App. B	N/A		N/A	
App. C	N/A		N/A	

Status: S = Satisfactory      U = Unsatisfactory      M = Marginal  
 N/A = Not Applicable per Scope of Work      NI = No Implementation

## Verifications and Dates:

**Audits**

YM-ARC-96-11, 8/5-9/96

**Surveillances**

0

**EVALUATION OF THE M & O QA PROGRAM  
BASED ON FY 96 AUDIT AND SURVEILLANCE REPORTS**

**TABLE 7**

QA Program Element	Verification Number	Results of Verification Activity		
		PR/DR/CARs/Issued	Current Status	Remarks
1.0	HQ-ARC-96-01 YM-ARP-96-07		S	
2.0	HQ-ARC-96-01 YM-ARP-96-07 YM-ARP-96-08 YMP-SR-96-008 YMP-SR-96-011 YMP-SR-96-019 YMP-SR-96-022 YMP-SR-96-024 YMP-SR-96-028	YM-96-D-029 YM-96-D-036 YM-96-D-045 YM-96-D-061 YM-96-D-072 YM-96-D-092 YM-96-C-007 YM-96-C-008	M	D-029 was closed 1/24/96 D-036 is pending closure D-045 was closed 9/20/96 D-061 is pending closure D-072 is pending response D-092 was closed 10/28/96 C-007 is pending CA C-008 is pending CA
3.0	HQ-ARC-96-01 YM-ARC-96-03 YMP-SR-96-019 YMP-SR-96-024	HQ-96-P-001 YM-96-P-017 YM-96-D-007 YM-96-D-075	S	P-001 was closed 6/26/96 P-017 was closed 7/10/96 D-007 was closed 9/16/96 D-075 is pending response
4.0	HQ-ARC-96-01 YMP-SR-96-018		S	
5.0	HQ-ARC-96-01 YM-ARP-96-07 YMP-SR-96-026	HQ-96-P-003 YM-96-D-101	S	P-003 was closed 9/16/96 D-101 is pending response
6.0	HQ-ARC-96-01 YM-ARP-96-07		S	
7.0	HQ-ARC-96-01 YM-ARP-96-01 HQ-SRP-96-01 YMP-SR-96-018	HQ-96-D-001 HQ-96-D-002 YM-96-D-010 YM-96-D-074	S	D-001 was closed 6/10/96 D-002 was closed 6/10/96 D-010 was closed 9/25/96 D-074 is pending closure
8.0	N/A		N/A	
9.0	N/A		N/A	
10.0	HQ-ARC-96-01		NI	
11.0	N/A		N/A	
12.0	HQ-ARC-96-01	YM-96-D-040 YM-96-D-041	S	D-040 was closed 4/4/96 D-041 was closed 7/31/96
13.0	N/A		N/A	
14.0	N/A		N/A	

**EVALUATION OF THE M & O QA PROGRAM  
BASED ON FY 96 AUDIT AND SURVEILLANCE REPORTS  
TABLE 7 (continued)**

QA Program Element	Verification Number	Results of Verification Activity		
		PR/DR/CARs/Issued	Current Status	Remarks
15.0	HQ-ARC-96-01 YMP-SR-96-011	YM-96-D-060	S	D-060 is pending closure
16.0	HQ-ARC-96-01 YM-ARP-96-07 YMP-SR-96-001		S	
17.0	HQ-ARC-96-01 YM-ARP-96-01 YM-ARP-96-07 YMP-SR-96-023 YMP-SR-96-024	YM-96-D-012 YM-96-D-042 YM-96-D-104	S	D-012 was closed 9/5/96 D-042 is pending CA D-104 is pending CA
18.0	N/A		N/A	
Supp. I	HQ-ARC-96-01 YM-ARP-96-07	HQ-96-P-001 HQ-96-P-002	S	P-001 was closed 6/26/96 P-002 is pending closure
Supp. II	HQ-ARC-96-01 YMP-SR-96-007 YMP-SR-96-008	YM-96-D-032	S	D-032 was closed 3/22/96
Supp. III	HQ-ARC-96-01 YM-ARP-96-01 YMP-SR-96-002 YMP-SR-96-008	YM-96-D-011 YM-96-D-014	S	D-011 was closed 9/5/96 D-014 was closed 5/17/96
Supp. IV	N/A		N/A	
Supp. V	N/A		N/A	
App. A	N/A		N/A	
App. B	HQ-ARC-96-01		S	
App. C	HQ-ARC-96-01		S	

Status: S = Satisfactory      U = Unsatisfactory      M = Marginal  
 N/A = Not Applicable per Scope of Work  
 NI = No Implementation

**Verifications and Dates:**

**Audits**

HQ-ARC-96-01, 2/5-8/96 & 2/12-16/96  
 \*YM-ARP-96-01, 10/23-27/95

**Surveillances**

HQ-SRP-96-01, 11/29/95-12/1/95  
 YMP-SR-96-001, 10/9-12/95

**EVALUATION OF THE M & O QA PROGRAM  
BASED ON FY 96 AUDIT AND SURVEILLANCE REPORTS**

**TABLE 7 (continued)**

*YM-ARC-96-03, 12/11-18/95	YMP-SR-96-002, 11/14-21/95
YM-ARP-96-07, 2/26/96-3/1/96	YMP-SR-96-007, 11/13-30/95
*YM-ARP-96-08, 3/18-22/96	YMP-SR-96-008, 1/4-11/96
	YMP-SR-96-011, 4/22/96-5/15/96
<b>Reviews</b>	YMP-SR-96-018, 6/3/96
	YMP-SR-96-019, 6/10/96-7/26/96
1/4/96	YMP-SR-96-022, 7/31/96-8/13/96
1/30/96	YMP-SR-96-023, 9/3/96
	YMP-SR-96-024, 8/27/96-9/12/96
*Audits performed on other Affected Organizations resulting in issuance of deficiency documents to the M&O	YMP-SR-96-028, 9/19-27/96
	YMP-SR-96-026, 8/28/96-9/4/96

**EVALUATION OF THE KIEWIT/PARSONS BRINCKERHOFF (K/PB) QA  
PROGRAM BASED ON FY 96 AUDIT AND SURVEILLANCE REPORTS  
TABLE 8**

QA Program Element	Verification Number	Results of Verification Activity		
		PR/DR/CARs/Issued	Current Status	Remarks
1.0	YM-ARC-96-03		S	
2.0	YM-ARC-96-03 YM-ARP-96-09 YMP-SR-96-019 YMP-SR-96-028	YM-96-D-028	S	D-028 was closed 9/16/96
3.0	YM-ARP-96-09		S	
4.0	YM-ARC-96-03 YM-ARP-96-09	YM-96-P-019	S	P-019 was closed 3/14/96
5.0	YM-ARC-96-03 YM-ARP-96-09 YMP-SR-96-019	YM-96-P-020 YM-96-D-020 YM-96-D-021 YM-96-D-022 YM-96-D-025 YM-96-D-027 YM-96-D-028 YM-96-D-062 YM-96-D-074	U	P-020 was closed 5/30/96 D-020 was closed 9/30/96 D-021 was closed 2/15/96 D-022 was closed 3/7/96 D-025 was closed 9/30/96 D-027 was closed 4/8/96 D-028 was closed 9/16/96 D-062 was closed 8/6/96 D-074 is pending closure
6.0	YM-ARC-96-03 YM-ARP-96-09		S	
7.0	YM-ARC-96-03 YM-ARP-96-09		S	
8.0	YM-ARC-96-03	YM-96-D-022	S	D-022 was closed 3/7/96
9.0	YM-ARC-96-03		M	
10.0	YM-ARC-96-03 YM-ARP-96-09 YMP-SR-96-019		S	
11.0	YM-ARC-96-03	YM-96-P-018 YM-96-D-025	M	P-018 was closed 1/30/96 D-025 was closed 9/30/96
12.0	YM-ARC-96-03 YM-ARP-96-09	YM-96-D-024	S	D-024 was closed 8/2/96
13.0	YM-ARC-96-03 YM-ARP-96-09		S	
14.0	YM-ARC-96-03		S	
15.0	YM-ARC-96-03 YM-ARP-96-09	YM-96-D-023	M	D-023 was closed 3/11/96

**EVALUATION OF THE KIEWIT/PARSONS BRINCKERHOFF (K/PB) QA  
PROGRAM BASED ON FY 96 AUDIT AND SURVEILLANCE REPORTS  
TABLE 8 (continued)**

QA Program Element	Verification Number	Results of Verification Activity		
		PR/DR/CARs/Issued	Current Status	Remarks
16.0	YM-ARC-96-03 YM-ARP-96-09		S	
17.0	YM-ARC-96-03 YM-ARP-96-09 YMP-SR-96-029	YM-96-D-026	S	D-026 was closed 4/4/96
18.0	N/A		N/A	
Supp. I	N/A		N/A	
Supp. II	N/A		N/A	
Supp. III	N/A		N/A	
Supp. IV	YM-ARC-96-03 YMP-SR-96-029		S	
Supp. V	N/A		N/A	
App. A	N/A		N/A	
App. B	N/A		N/A	
App. C	N/A		N/A	

Status: S = Satisfactory      U = Unsatisfactory      M = Marginal  
 N/A = Not Applicable per Scope of Work  
 NI = No Implementation

**Verifications and Dates:**

**Audits**

YM-ARC-96-03, 12/11-18/95  
 YM-ARP-96-09, 3/25-29/96

**Surveillances**

YMP-SR-96-019, 6/10/96-7/26/96  
 YMP-SR-96-028, 9/19-27/96  
 YMP-SR-96-029, 9/12-30/96

**EVALUATION OF SANDIA NATIONAL LABORATORY (SNL) QA  
PROGRAM BASED ON FY 96 AUDIT AND SURVEILLANCE REPORTS  
TABLE 9**

QA Program Element	Verification Number	Results of Verification Activity		
		PR/DR/CARs/Issued	Current Status	Remarks
1.0	YM-ARP-96-05 YM-ARP-96-07 YM-ARC-96-18	YM-96-D-044	S	D-044 is pending CA
2.0	YM-ARP-96-05 YM-ARP-96-07 YM-ARC-96-18 YMP-SR-96-004		S	
3.0	YM-ARC-96-18		S	
4.0	YM-ARC-96-18	YM-96-D-083	S	D-083 is pending closure
5.0	YM-ARP-96-05 YM-ARP-96-07 YM-ARC-96-18	YM-96-P-021 YM-96-D-004 (rollover from CAR YM-94-096) YM-96-D-034 YM-96-D-044 YM-96-D-080 YM-96-D-081 YM-96-D-084 YM-96-D-088	U	P-021 was closed 3/5/96 D-004 pending amended CA  D-034 was closed 6/25/96 D-044 is pending CA D-080 is pending CA D-081 is pending closure D-084 is pending CA D-088 is pending CA
6.0	YM-ARP-96-05 YM-ARP-96-07 YM-ARC-96-18	YM-96-D-089	S	D-089 is pending closure
7.0	YM-ARC-96-18	YM-96-P-030	S	P-030 was closed 10/10/96
8.0	N/A		N/A	
9.0	N/A		N/A	
10.0	N/A		N/A	
11.0	N/A		N/A	
12.0	YM-ARP-96-07 YM-ARC-96-18		S	
13.0	N/A		N/A	
14.0	N/A		N/A	
15.0	YM-ARC-96-18		N/I	

**EVALUATION OF SANDIA NATIONAL LABORATORY (SNL) QA  
PROGRAM BASED ON FY 96 AUDIT AND SURVEILLANCE REPORTS  
TABLE 9 (continued)**

QA Program Element	Verification Number	Results of Verification Activity		
		PR/DR/CARs/Issued	Current Status	Remarks
16.0	YM-ARP-96-05 YM-ARP-96-07 YM-ARC-96-18 YMP-SR-96-015	YM-96-P-023 YM-96-D-090	U	P-023 was closed 4/24/96 D-090 is pending CA
17.0	YM-ARP-96-05 YM-ARP-96-07 YM-ARC-96-18	YM-96-D-085 YM-96-D-086	U	D-085 is pending CA D-086 is pending CA
18.0	N/A		N/A	
Supp. I	YM-ARP-96-07 YM-ARC-96-18 YMP-SR-96-004	YM-96-D-082	S	D-082 is pending closure
Supp. II	YM-ARC-96-18		S	
Supp. III	YM-ARP-96-07 YM-ARC-96-18 YMP-SR-96-004 YMP-SR-96-015	YM-96-D-087	S	D-087 is pending closure
Supp. IV	N/A		N/A	
Supp. V	YM-ARC-96-18		NI	
App. A	N/A		N/A	
App. B	N/A		N/A	
App. C	N/A		N/A	

Status: S = Satisfactory      U = Unsatisfactory      M = Marginal  
 N/A = Not Applicable per Scope of Work  
 NI = No Implementation

**Verifications and Dates:**

**Audits**

YM-ARP-96-05, 1/22-26/96  
 YM-ARP-96-07, 2/26/96-3/1/96  
 YM-ARC-96-18, 7/17-26/96

**Surveillances**

YMP-SR-96-004, 10/12 & 25/95  
 YMP-SR-96-015, 5/22-31/96



**EVALUATION OF U.S. GEOLOGICAL SURVEY (USGS) QA PROGRAM  
BASED ON FY 96 AUDIT AND SURVEILLANCE REPORTS  
TABLE 10**

QA Program Element	Verification Number	Results of Verification Activity		
		PR/DRCARs/Issued	Current Status	Remarks
1.0	YM-ARC-96-10 YM-ARP-96-12		S	
2.0	YM-ARP-96-01 YM-ARC-96-10 YM-ARP-96-12		S	
3.0	N/A		N/A	
4.0	YM-ARP-96-01 YM-ARC-96-10 YM-ARP-96-12	YM-96-C-004	U	C-004 is pending response
5.0	YM-ARC-96-10 YM-ARP-96-12		S	
6.0	YM-ARP-96-01 YM-ARC-96-10 YM-ARP-96-12		S	
7.0	YM-ARP-96-01 YM-ARC-96-10 YM-ARP-96-12	YM-96-C-004	U	C-004 is pending response
8.0	N/A		N/A	
9.0	N/A		N/A	
10.0	N/A		N/A	
11.0	N/A		N/A	
12.0	YM-ARP-96-01 YM-ARC-96-10 YM-ARP-96-12 YMP-SR-96-022	YM-96-D-048	S	D-048 is pending CA
13.0	N/A		N/A	
14.0	N/A		N/A	
15.0	YM-ARP-96-01 YM-ARC-96-10 YM-ARP-96-12	YM-96-D-049	S	D-049 was closed 8/21/96
16.0	YM-ARP-96-01 YM-ARC-96-10 YM-ARP-96-12 YMP-SR-96-025	YM-96-C-005	U	C-005 was closed 10/24/96

**EVALUATION OF U.S. GEOLOGICAL SURVEY (USGS) QA PROGRAM  
BASED ON FY 96 AUDIT AND SURVEILLANCE REPORTS  
TABLE 10 (continued)**

QA Program Element	Verification Number	Results of Verification Activity		
		PR/DRCARs/Issued	Current Status	Remarks
17.0	YM-ARC-96-10 YM-ARP-96-12	YM-96-P-024 YM-96-D-050 YM-96-D-051	S	P-024 was closed 10/9/96 D-050 was closed 10/9/96 D-051 is pending CA
18.0	N/A		N/A	
Supp. I	YM-ARC-96-10 YM-ARP-96-12	YM-96-P-025	S	P-025 was closed 6/24/96
Supp. II	YM-ARC-96-10 YM-ARP-96-12 YMP-SR-96-010		S	
Supp. III	YM-ARC-96-10 YM-ARP-96-12 YMP-SR-96-022	YM-96-C-002	M	C-002 was closed 8/12/96
Supp. IV	N/A		N/A	
Supp. V	NI		NI	
App. A	N/A		N/A	
App. B	N/A		N/A	
App. C	N/A		N/A	

Status: S = Satisfactory      U = Unsatisfactory      M = Marginal  
N/A = Not Applicable per Scope of Work  
NI = No Implementation

**Verifications and Dates:**

**Audits**

YM-ARP-96-01, 10/23-27/95  
YM-ARC-96-10, 3/25-29/96  
YM-ARP-96-12, 4/29/96-5/2/96

**Surveillances**

YMP-SR-96-010, 5/8 & 15/96  
YMP-SR-96-022, 7/31/96-8/13/96  
YMP-SR-96-025, 10/7-9/96