



Department of Energy

Washington, DC 20585

QA: L

APR 25 1997

L. D. Foust, Technical Project Officer  
for Yucca Mountain Site  
Characterization Project  
TRW Environmental Safety Systems, Inc.  
1180 Town Center Drive, M/S 423  
Las Vegas, NV 89134

ISSUANCE OF DEFICIENCY REPORTS (DR) YM-97-D-033 THROUGH YM-97-D-035  
RESULTING FROM OFFICE OF QUALITY ASSURANCE (OQA) AUDIT LLNL-ARC-97-13  
OF LAWRENCE LIVERMORE NATIONAL LABORATORY

Enclosed are DRs YM-97-D-033 through YM-97-D-035 generated as a result of OQA Audit  
LLNL-ARC-97-13.

Please provide responses to these deficiencies that meet the applicable requirements of  
Administrative Procedure 16.1Q, Performance/Deficiency Reporting. Send the originals of your  
responses to Deborah Sult, OQA/QATSS, P.O. Box 30307, Mail Stop 455, North Las Vegas,  
Nevada 89036-0307. Responses to the DRs are due 20 working days from the date of this letter.  
Extensions to due dates must be requested in writing, with appropriate justification, prior to the  
due dates.

If you have any questions, please contact either James Blaylock at (702) 794-1420 or  
Donald J. Harris at (702) 794-1467.

Donald G. Horton, Director  
Office of Quality Assurance

OQA:JB-1415

Enclosure:  
DRs YM-97-D-033 through  
YM-97-D-035

102.7

NH-33  
NM-11

9705050131 970425  
PDR WASTE  
WM-11

000004 PDR

Recip = NMSS/HLR



APR 25 1997

cc w/encl:

T. A. Wood, DOE/HQ (RW-55) FORS  
J. O. Thoma, NRC, Washington, DC  
S. W. Zimmerman, NWPO, Carson City, NV  
B. R. Justice, M&O, Las Vegas, NV  
R. A. Morgan, M&O, Las Vegas, NV  
W. L. Clarke, M&O/LLNL, Livermore, CA  
Royce Monks, M&O/LLNL, Livermore, CA  
J. E. Therien, OQA/QATSS, Las Vegas, NV

cc w/o encl:

W. L. Belke, NRC, Las Vegas, NV  
D. J. Harris, OQA/QATSS, Las Vegas, NV  
D. G. Sult, OQA/QATSS, Las Vegas, NV  
R. W. Clark, DOE/OQA, Las Vegas, NV

**OFFICE OF CIVILIAN  
RADIOACTIVE WASTE MANAGEMENT  
U.S. DEPARTMENT OF ENERGY  
WASHINGTON, D.C.**

8  Performance Report  
 Deficiency Report  
 NO. YM-97-D-033  
 PAGE 1 OF X2 *dy 4/17/97*  
 QA: L

**PERFORMANCE/DEFICIENCY REPORT**

1 Controlling Document:  
033-YMP-QP 2.1, R 6 - Prep./Approval/Revision of Proced., Requirements & Plans

2 Related Report No.  
LLNL-ARC-97-13

3 Responsible Organization:  
Lawrence Livermore National Laboratory

4 Discussed With:  
Cami Brumburg/Royce Monks

5 Requirement/Measurement Criteria:

Section 2.1.4.1.1 requires planning and implementing documents to include the following information as appropriate to the work to be performed.

\* Identification of lifetime or non-permanent quality assurance records generated.

6 Description of Condition:

ISPs (Individual Software Plan) are planning documents prepared for each scientific and engineering software package. Since the ISP describes specific documents that will become records (more specific than those described in QP 3.2), it needs to indicate lifetime or non-permanent records for the work to be performed. ISP-CM-01, ISP-NF-01 and ISP-NF-13 do not indicate this status.

7 Initiator

S. D. Harris *S. D. Harris* Date 04/09/97

9 Is condition an isolated occurrence?

Yes  No  Unknown; Must be Yes if PR

10 Recommended Actions: (Not required for PR)

The ISPs need to be evaluated for impact and the necessary designation added for lifetime or non-permanent records.

11 QA Review

QAR *S.D. Harris for S.D. Harris* Date 4/17/97

12 Response Due Date

20 working days from issuance

13 Affected Organization QA Manager Issuance Approval: (QAR for PR)

Printed Name Donald G. Horton

Signature *[Signature]*

Date 4/23/97

22 Corrective Actions Verified

QAR \_\_\_\_\_ Date \_\_\_\_\_

23 Closure Approved by: (N/A for PR)

AOQAM \_\_\_\_\_ Date \_\_\_\_\_

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PR/DR NO. YM-97-D-033

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PERFORMANCE/DEFICIENCY REPORT RESPONSE

14 Remedial Actions:

15 Extent of Condition: (Not required for PR)

16 Root Cause Determination: (Not required for PR)

Required

Yes

No

17 Action to Preclude Recurrence: (Not required for PR)

Required

Yes

No

18 Corrective Action Completion Due Date:

19 Response by:

Initial

Amended

Date

Phone

20 Response Accepted

QAR

Date

21 Response Accepted (N/A for PR):

AOQAM

Date

**ORIGINAL**

~~THIS IS A RED STAMP~~

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8  Performance Report  
 Deficiency Report

NO. YM-97-D-034  
PAGE X1 OF X2 *1/17/97*  
QA: L

**PERFORMANCE/DEFICIENCY REPORT**

1 Controlling Document:  
033-YMP-QP 2.6, Rev. 2 - Readiness Review

2 Related Report No.  
LLNL-ARC-97-13

3 Responsible Organization:  
Lawrence Livermore National Laboratory

4 Discussed With:  
Royce Monks

5 Requirement/Measurement Criteria:

Section 2.6.4.1, Readiness Review Team Leader

Items:

- Determines the technical disciplines to be used;
- Establishes qualifications for reviewers and schedules the Readiness Review;
- Selects reviewers and assigns review functions and responsibilities to them.

6 Description of Condition:

Contrary to the above requirements, Readiness Reviews RR-97-01, Revision 0 and RR 015-E-20-50 did not comply with requirements identified in Block 5. The records, documenting the aforementioned Readiness Reviews, did not provide objective evidence that the requirements were met; specifically, the determination of the disciplines of the reviewers, reviewer qualification and schedule for Readiness Review and assignment of reviewer's responsibilities were not documented.

7 Initiator  
Rick Weeks *Rick Weeks* Date 04/14/97

9 Is condition an isolated occurrence?  
 Yes  No  Unknown; Must be Yes if PR

10 Recommended Actions: (Not required for PR)

- Identify or generate records that document each of the deficient conditions identified.
- Submit a revised records package with required documentation.

11 QA Review  
QAR *D. Horton for R. Weeks* Date 4/17/97

12 Response Due Date  
20 working days from issuance

13 Affected Organization QA Manager Issuance Approval: (QAR for PR)

Printed Name Donald G. Horton Signature *Donald G. Horton* Date 4/23/97

22 Corrective Actions Verified  
QAR Date

23 Closure Approved by: (N/A for PR)  
AOQAM Date

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PERFORMANCE/DEFICIENCY REPORT RESPONSE

14 Remedial Actions:

15 Extent of Condition: (Not required for PR)

16 Root Cause Determination: (Not required for PR) Required  Yes  No

17 Action to Preclude Recurrence: (Not required for PR) Required  Yes  No

18 Corrective Action Completion Due Date:

19 Response by:

Initial

Amended

Date

Phone

20 Response Accepted

21 Response Accepted (N/A for PR):

QAR

Date

AOQAM

Date

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 Deficiency Report  
NO. YM-97-D-035  
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PERFORMANCE/DEFICIENCY REPORT

1 Controlling Document:  
033-YMP-QP-2.9, Rev. 6 - Indoctrination and Training

2 Related Report No.  
LLNL-ARC-97-13

3 Responsible Organization:  
Lawrence Livermore National Laboratory Training

4 Discussed With:  
Royce Monks/Julie McCreary

5 Requirement/Measurement Criteria:  
Above document, Section 2.9.3.4  
YMP personnel are responsible for completing all assignment training before any quality affecting work is performed, or within sixty (60) days of the effective date of the procedure or change notice; whichever comes first.

6 Description of Condition:  
No training assigned to Revision 1 of AP-16.1Q or AP-16.2Q, which have an effective date of 7/15/96.

7 Initiator:  
Cindy Humphries-Alder Date 04/15/97

9 Is condition an isolated occurrence?  
 Yes  No  Unknown; Must be Yes if PR

10 Recommended Actions: (Not required for PR)  
Investigate to determine the extent and impact of the deficiency based on results. Determine the root cause of the deficiency. Provide actions to preclude recurrence.

11 QA Review  
Cindy Humphries-Alder Date 4/15/97

12 Response Due Date  
20 working days from issuance

13 Affected Organization QA Manager Issuance Approval: (QAR for PR)  
Printed Name Donald G. Horton Signature Date 4/23/97

22 Corrective Actions Verified  
QAR Date

23 Closure Approved by: (N/A for PR)  
AOQAM Date

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PR/DR NO. YM-97-D-035

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PERFORMANCE/DEFICIENCY REPORT RESPONSE

14 Remedial Actions:

15 Extent of Condition: (Not required for PR)

16 Root Cause Determination: (Not required for PR) Required  Yes  No

17 Action to Preclude Recurrence: (Not required for PR) Required  Yes  No

18 Corrective Action Completion Due Date:

19 Response by:

Initial

Amended

Date

Phone

20 Response Accepted

21 Response Accepted (N/A for PR):

QAR

Date

AOQAM

Date