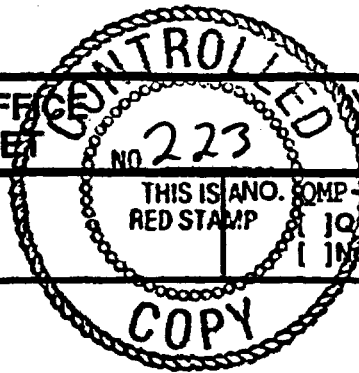


# YUCCA MOUNTAIN PROJECT OFFICE DOCUMENT APPROVAL SHEET



Y-AD-002

1/90

Title

QUALITY MANAGEMENT PROCEDURE: MANAGEMENT ASSESSMENT

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## APPROVAL

PROJECT MANAGER: Original signed by A. G. Robison 7/12/89  
Signature Date

DIRECTOR OF QUALITY ASSURANCE: Mario Diaz 7/11/89  
Signature Date

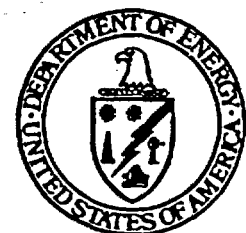
T&MSS Proj Mgr W. V. Macnabb 7/11/89  
(OTHER, AS REQUIRED) Signature Date

REVISION 0 EFFECTIVE DATE: 7/12/89

## REVISIONS

### INITIAL AND DATE

	REVISION 1	REVISION 2	REVISION 3	REVISION 4
PROJECT MANAGER:	<u>[Signature]</u> <u>7/12/89</u>			
DIRECTOR, QA:	<u>[Signature]</u> <u>10/18/89</u>			
N/A	N/A			
(OTHER, AS REQUIRED)				
EFFECTIVE DATE:	<u>10/19/90</u>			



# YUCCA MOUNTAIN PROJECT PROCEDURE

Y-AD-001  
4/90

## Title

QUALITY MANAGEMENT PROCEDURE: MANAGEMENT ASSESSMENT

### 1.0 PURPOSE AND SCOPE

#### 1.1 PURPOSE

The purpose of this procedure is to describe the methods for conducting management assessments of the Yucca Mountain Project Office (Project Office) Quality Assurance (QA) Program, as required by the Quality Assurance Requirements Document (QARD) DOE/RW-0214, and the Quality Assurance Program Description (QAPD) DOE/RW-0215.

#### 1.2 SCOPE

The scope of this procedure includes (1) the appointment of Management Assessment teams, (2) development of management assessment plans, (3) performance of management assessments and (4) follow-up of corrective actions.

### 2.0 APPLICABILITY

This procedure applies to the Project Office, MAC Technical Services Co. (MACTEC), and Science Applications International Corporation (SAIC).

### 3.0 DEFINITIONS

NOTE: Terms in this procedure are used as defined in the Project Glossary. The following additional definitions are adopted for the purposes of this procedure.

#### 3.1 CONCERN

A perception of a weakness in the management systems and controls that implement the QA Program, which, if left uncorrected, has the potential to produce a violation of a requirement of the QA Plan.

#### 3.2 DEFICIENCY

For the purposes of this procedure a deficiency is a perception by one or more members of this Management Assessment Committee (MAC) that there is an ongoing failure to comply with some aspect of the Quality Assurance Program.

#### 3.3 MANAGEMENT ASSESSMENT

An independent assessment performed by persons outside the quality assurance organization for the purpose of evaluating, as a minimum, the following QA program aspects:

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QUALITY MANAGEMENT PROCEDURE: MANAGEMENT ASSESSMENT

1. Adequacy of organizational structure and staffing to implement the QA Program.
2. Effectiveness of QA Program implementation.
3. Adequacy of the indoctrination and training program.
4. Adequacy of planning and procedural controls.
5. Effectiveness of the nonconformance and corrective action system.
6. Adequacy of the quality assurance management information tracking, evaluation, and reporting system

### 3.4 RECOMMENDATION

A suggested way to improve the management systems and controls instituted to achieve quality.

### 4.0 RESPONSIBLE PARTIES

The following Yucca Mountain Project (Project) individuals or organizations are responsible for activities identified in Section 5.0 of this procedure:

1. Yucca Mountain Project Manager (PM)
2. Project Office Division Director (DD)
3. Management Assessment Committee Chairperson
4. Management Assessment Committee Members
5. Technical Project Officer (TPO) MACTEC
6. Technical Project Officer (TPO) SAIC

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## 5.0 PROCEDURE

NOTE: A flowchart of the following process described in this procedure is attached as Figure 1.

<u>RESPONSIBLE PARTY</u>	<u>STEPS</u>	<u>PROCEDURE</u>
PM	1.	<p>At intervals no greater than twelve months, direct by letter that a Management Assessment be performed in accordance with this procedure. The direction letter must specify the members who will serve on the MAC, and specify the Chairperson.</p> <p>a. All members must be from outside the QA Organization of the organization(s) to be assessed.</p> <p>b. Each member must have experience in at least one management function and general knowledge of the area to be assessed.</p> <p>c. At least one member must have prior experience in a supervisory or management position in a QA organization.</p> <p>d. Members may be from in-house personnel or may be from outside the organization.</p>
MAC	2.	<p>Develop a Management Assessment Plan. As a minimum the plan must include:</p> <p>a. Identification of the organization(s) to be assessed</p> <p>b. Scope of the assessment</p> <p>c. Methods to be used</p> <p>d. Schedule through issuance of the management assessment report</p> <p>e. Minimum training requirements for committee members</p>

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QUALITY MANAGEMENT PROCEDURE: MANAGEMENT ASSESSMENT

<u>RESPONSIBLE PARTY</u>	<u>STEPS</u>	<u>PROCEDURE</u>
MAC		f. Criteria to be used and the basis/rational for the criteria
MAC Chairperson	3.	Formally transmit the management assessment plan to the PM. Transmit copies of the plan to all Project Office DDs for information.
PM	4.	Review and approve the plan.
MAC	5.	Conduct the management assessment in accordance with the approved plan.
	6.	Document deficiencies concerns, and/or recommendations to the MAC Chairperson.  Deficiencies of items will be reported as nonconformance reports in accordance with QMP-15-01. Conditions adverse to quality will be reported in accordance with QMP-16-03.
	NOTE:	The MAC Chairperson must immediately bring to the attention of the responsible DD/TPO the identification of any deficiencies.
MAC Chairperson	7.	Prepare a draft consensus management assessment report.
	8.	Review the report with all committee members.
	9.	Finalize the report.
	10.	Formally transmit the report to the PM. Transmit copies of the report to: <ul style="list-style-type: none"> <li>a. All Project Office DDs for information</li> <li>b. If appropriate, the TPO of MACTEC and/or SAIC</li> </ul>

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<u>RESPONSIBLE PARTY</u>	<u>STEPS</u>	<u>PROCEDURE</u>
PM	11.	Review the management assessment report.
	12.	Direct any actions deemed necessary to address identified concerns and recommendations.
	13.	Submit a copy of the management assessment report to the Office of Civilian Radioactive Waste Management (OCRWM).
MAC Chairperson	14.	Enter any actions required into Action Tracking System in accordance with AP-1.9Q, Waste Management Project Office (WMPO) Action Item Tracking System.
Project Office DD and if appropriate, TPO of MACTEC and or SAIC	15.	Take action and formally report progress and completion of corrective action to the PM.
MAC Chairperson	16.	Process QA records to the Local Records Center in accordance with QMP-17-01.

## 6.0 REFERENCES

NOTE: Refer to the latest revision of the documents listed below unless otherwise stated.

### 6.1 REQUIREMENTS DOCUMENTS

Project Management Plan, YMP/88-2

### 6.2 INTERFACE DOCUMENTS

AP-1.9Q, WMPO Action Item Tracking System

QMP-15-01, Control of Nonconformance

QMP-17-01, Records Management: Record Source Implementation

QMP-16-03, Standard Deficiency Reporting System

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## 7.0 FIGURES AND ATTACHMENTS

Figure 1, QMP-02-03 Flowchart

## 8.0 RECORDS

The following documents are QA records and shall be maintained in accordance with QMP-17-01, Records Management: Record Source Implementation:

1. PMS committee appointment letter
2. Management Assessment Plan
3. PMS approval of the management assessment plan
4. Management Assessment Report
5. Correspondence and reports related to directed improvement actions

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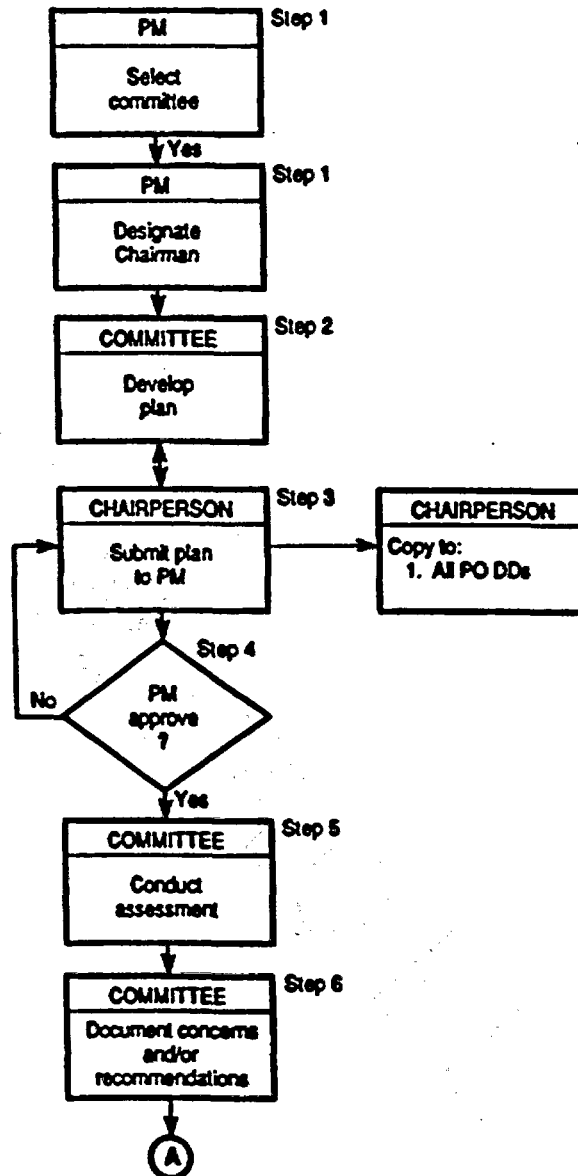


Figure 1 - QMP-02-03 Flowchart

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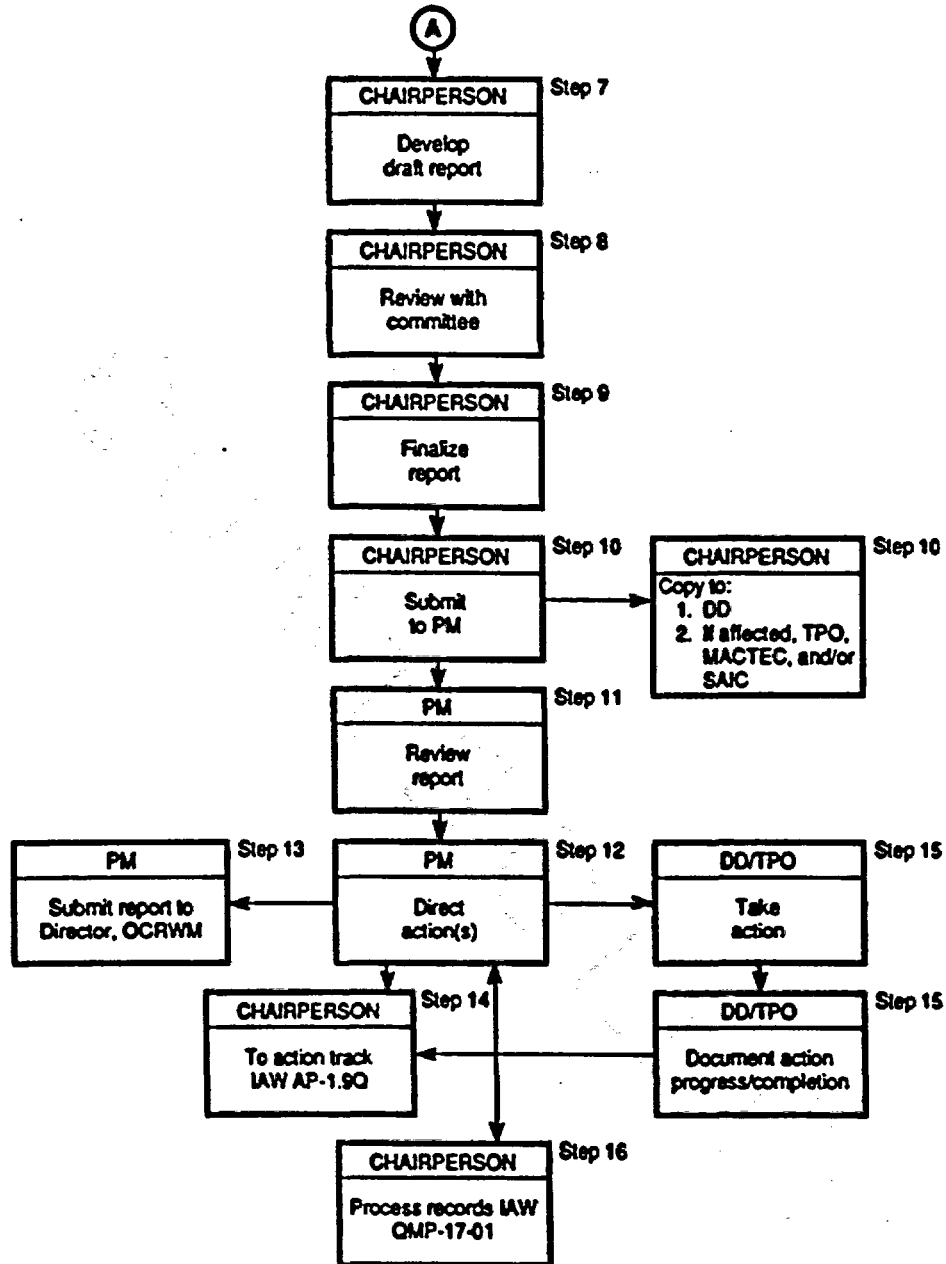


Figure 1 - QMP-02-03 Flowchart (continued)

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