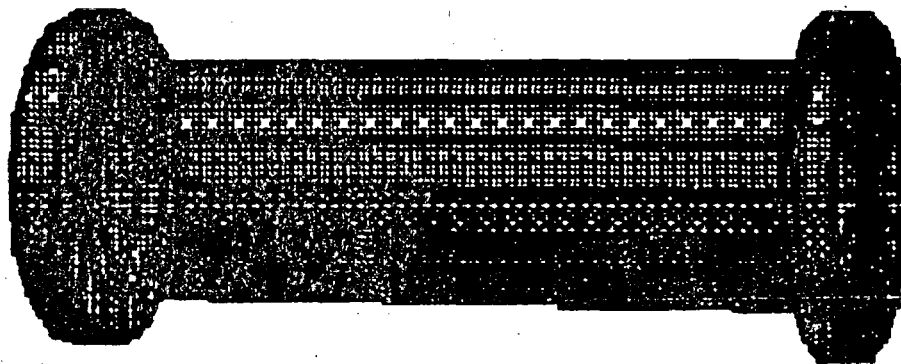


**YUCCA MOUNTAIN  
PROJECT OFFICE  
AUDIT OF  
LAWRENCE LIVERMORE  
NATIONAL LABORATORY**

**AUDIT 91-01**



9106030225 910430  
PDR WASTE PDR  
WM-11

received with letter dtd. 4/30/91



Department of Energy  
Yucca Mountain Site Characterization  
Project Office  
P. O. Box 98608  
Las Vegas, NV 89193-8608

WBS 1.2.9.3  
QA

MAY 03 1991

Leslie J. Jardine  
Technical Project Officer  
for Yucca Mountain  
Site Characterization Project  
University of California  
Lawrence Livermore National Laboratory  
P.O. Box 5514, L-217  
Livermore, CA 94551

YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT OFFICE (YMPO) QUALITY ASSURANCE (QA) AUDIT YMP-91-01 OF LAWRENCE LIVERMORE NATIONAL LABORATORY (LLNL) SUPPORT OF THE YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT

Please be advised that a team from the YMPO will conduct a QA audit of the LLNL QA Program Plan and quality-related activities during the period of June 3-7, 1991. Current plans call for the audit team to hold an entrance meeting on June 3, 1991, beginning at 1 p.m. Please arrange for the appropriate personnel at your facility to attend this preaudit conference. The postaudit conference is tentatively scheduled for 11 a.m. on June 7, 1991.

The audit will be limited to a review of activities as shown in the enclosed Audit Plan.

Observers from the State of Nevada, Clark County (Nevada), Nye County (Nevada), the U.S. Nuclear Regulatory Commission, or other interested parties may accompany the audit team.

If you have any questions, please contact either James Blaylock at (702) 794-7913 or FTS 544-7913, or Frank J. Kratzinger at (702) 794-7163 or FTS 544-7163.

*James Blaylock for*  
Donald G. Horton, Director  
Yucca Mountain Quality Assurance Division

YMQAD:JB-3537

Enclosure:  
Audit Plan YMP-91-01

~~9105100326~~

0 652

210

Delete all dist. except CF, RDR, LDR, CNWA, ACNW (ccy), E' MEXCS FT NH03  
102.7 Wm-11

MAY 03 1991

Leslie J. Jardine

-2-

cc w/encl:

D. G. Horton, HQ (RW-3) FORS  
Robert Clark, HQ (RW-3) FORS  
S. L. Skuchko, HQ (RW-331) FORS  
K. R. Hooks, NRC, Washington, DC  
J. W. Gilray, NRC, Las Vegas, NV  
Norman Frank, Arlington, VA  
R. R. Loux, NWPO, Carson City, NV  
S. W. Zimmerman, NWPO, Carson City, NV  
E. von Tiesenhausen, Clark County, Las Vegas, NV  
Phillip Niedzielski-Eichner, Nye County, NV  
Keith Whipple, Lincoln County, Pioche, NV  
R. Dann, LLNL, Livermore, CA  
E. A. Cocoros, MACTEC, Las Vegas, NV  
R. R. Richards, SNL, 6310, Albuquerque, NM  
A. I. Arceo, SAIC, Las Vegas, NV, 517/T-06  
J. J. Brogan, SAIC, Las Vegas, NV, 517/T-08  
N. D. Cox, SAIC, Las Vegas, NV, 517/T-06  
F. J. Kratzinger, SAIC, Las Vegas, NV, 517/T-06  
K. T. McFall, SAIC, Las Vegas, NV, 517/T-06  
R. E. Powe, SAIC, Las Vegas, NV, 517/T-06  
C. H. Prater, SAIC, Las Vegas, NV, 517/T-06  
R. L. Weeks, SAIC, Las Vegas, NV, 517/T-06

QUALITY ASSURANCE AUDIT PLAN FOR  
THE YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT OFFICE AUDIT OF  
LAWRENCE LIVERMORE NATIONAL LABORATORY

AUDIT NUMBER YMP 91-01

JUNE 3 THROUGH 7, 1991

Prepared by: Richard E. Powe Date: 4/30/91  
Richard E. Powe  
Lead Technical Specialist

Prepared by: Frank J. Kratzinger Date: 4/30/91  
Frank J. Kratzinger  
Audit Team Leader

Approved by: James Blaylock Date: 4/30/91  
Donald G. Horton, Director  
Yucca Mountain Quality Assurance Division



## 1.0 SCOPE

The scope of this audit is to evaluate the Lawrence Livermore National Laboratory (LLNL) Quality Assurance (QA) Program to determine whether it meets requirements and commitments imposed by the Yucca Mountain Site Characterization Project Office (YMPO). This will be accomplished by verifying implementation and effectiveness of the program in place, as well as verifying compliance with requirements.

Discrepancies identified during previous YMPO audits and surveillances of LLNL that have not been closed, will be added to the scope of this audit to determine whether LLNL has taken effective corrective actions in those program areas.

The programmatic and technical elements to be audited, as well as the programmatic elements that have not been included, are identified in Section 5.0 of this audit plan.

## 2.0 ORGANIZATION TO BE AUDITED

Lawrence Livermore National Laboratory, Livermore, California

## 3.0 AUDIT SCHEDULE

Final Pre-Audit Team Meeting	9:00 a.m., May 30, 1991 Las Vegas, NV
Pre-Audit Team/Observer Meeting	11:00 a.m., June 3, 1991 Livermore, CA
Pre-Audit Conference	1:00 p.m., June 3, 1991 Livermore, CA
Audit Activities	12:30 - 4:00 p.m., June 3, 1991 Livermore, CA 8:30 a.m. - 4:00 p.m., June 4-6 Livermore, CA 8:30 - 10:30 a.m., June 7, 1991 Livermore, CA
Post-Audit Conference	11:00 a.m., June 7, 1991 Livermore, CA

## 4.0 REQUIREMENTS TO BE AUDITED AND APPLICABLE REFERENCES

The requirements to be evaluated through the audit process are contained in the programmatic and technical checklists. These checklists were developed from the following documents:

- o Yucca Mountain Site Characterization Project Administrative Procedures (Quality) (AP-Qs).

- c LLNL Quality Assurance Program Plan (QAPP), Revision 8, and applicable implementing procedures.

The conduct of the audit will be guided by the documents listed below:

- c QAAP 16.2, "Audit Program," Revision 3.
- c QAAP 16.1, "Corrective Action Requests," Revision 3.
- c Audit Observer Inquiry.
- c Policy for Participation of State, Tribal, and U.S. Nuclear Regulatory Commission Representative Observers on U.S. Department of Energy (DOE) Audits.
- c High Level Waste Division Procedures for Conducting Observation Audits of DOE High Level Waste Repository Program Quality Assurance Audits.

#### 5.0 ACTIVITIES TO BE AUDITED

The audit will be limited to a review of activities in the following areas:

##### QA Program Elements

- 1.0 Organization
- 2.0 Quality Assurance
- 3.0 Scientific Investigation and Design Control
- 4.0 Procurement Document Control
- 5.0 Instructions, Procedures, Plans, and Drawings
- 6.0 Document Control
- 7.0 Control of Purchased Items and Services
- 8.0 Identification & Control of Items, Samples, and Data
- 12.0 Control of Measuring and Test Equipment
- 13.0 Handling, Shipping, and Storage
- 15.0 Control of Non-Conforming Items
- 16.0 Corrective Action
- 17.0 Quality Assurance Records
- 18.0 Audits

The following QA Program Elements, with no activity since the last audit or no applicability to the LLNL scope of work, will not be reviewed during this audit:

- 9.0 Control of Processes
- 10.0 Inspection
- 11.0 Test Control
- 14.0 Inspection, Test, and Operating Status

Technical Elements

Technical specialists will review the following areas to evaluate performance of ongoing, new, and near-term technical activities:

<u>Work Breakdown</u>	<u>Title</u>
1.2.1.4.5	Geochemical Modeling and Data Base Development
1.2.2.2.2	Hydrologic Properties of Waste Package Environment
1.2.2.3.1.1	Waste Form Testing - Spent Fuel
1.2.2.3.4.2	Thermodynamic Data Determination

In addition, the technical specialists will evaluate the above activities to determine adequacy in the following areas:

1. Technical Qualifications of Scientific Investigators and Design Personnel.
2. Understanding of procedural requirements as they pertain to scientific investigation and design control activities.
3. Adequacy of technical procedures.
4. Development and review of technical products.

If the audit team identifies a need to verify additional programmatic or technical areas during the audit, they will be added to the audit checklists and verified accordingly.

**6.0 AUDIT TEAM MEMBERS**

Frank J. Kratzinger, Audit Team Leader, Science Applications International Corporation (SAIC), Las Vegas, Nevada  
Amelia I. Arceo, Auditor, SAIC, Las Vegas, Nevada  
James Blaylock, Auditor, DOE, Las Vegas, Nevada  
Edward A. Cocoros, Auditor, MAC Technical Services Company  
Las Vegas, Nevada  
Neil D. Cox, Auditor, SAIC, Las Vegas, Nevada  
Mario R. Diaz, Auditor, DOE, Las Vegas, Nevada  
Ken T. McFall, Auditor, SAIC, Las Vegas, Nevada  
Richard L. Weeks, Auditor, SAIC, Las Vegas, Nevada  
Richard E. Powe, Lead Technical Specialist, SAIC, Las Vegas, Nevada  
David Stahl, Technical Specialist, SAIC, Las Vegas, Nevada

**7.0 AUDIT CHECKLISTS**

- 91-01-1, Programmatic Audit Checklist
- 91-01-2, Technical Audit Checklist

**LLNL  
AUDIT 91-01**

MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
<p>10:30 am Badging</p> <p>11:00 am Team/ Observer Mtg.</p>	<p>8:30 am TPO Meeting</p> <p>8:30 - 11:30 am Criteria 1, 3, 4, 5, 12</p> <p>WBS 1.2.2.2.2</p>	<p>8:30 am TPO Meeting</p> <p>8:30 - 11:30 am Criteria 2, 3, 6, 7, 15, SQA</p> <p>WBS 1.2.2.3.1.1</p>	<p>8:30 am TPO Meeting</p> <p>8:30 - 11:30 am Criteria 3, 8, 13, 16, 17, 18 SQA</p> <p>WBS 1.2.1.4.5 1.2.2.3.4.2</p>	<p>8:30 am TPO Meeting</p> <p>8:30 - 11:00 am Audit Wrap-Up</p> <p>11:00 am Postaudit Meeting</p>

**LUNCH**

<p>1:00 pm PreAudit Meeting</p> <p>2:00 - 4:00 pm Criteria 1, 3, 4, 5, 12</p> <p>WBS 1.2.2.2.2</p> <p>5:00 pm Team Mtg.</p>	<p>12:30 - 4:00 pm Criteria 2, 3, 6, 7, 12</p> <p>WBS 1.2.2.3.1.1</p> <p>5:00 pm Team Mtg.</p>	<p>12:30 - 4:00 pm Criteria 2, 3, 8, 15, 17, SQA</p> <p>WBS 1.2.1.4.5</p> <p>5:00 pm Team Mtg.</p>	<p>12:30 - 4:00 pm Criteria 3, 13, 16 17, 18, SQA</p> <p>WBS 1.2.2.3.4.2</p> <p>5:00 pm Team Mtg.</p>	
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YUCCA MOUNTAIN PROJECT OFFICE

LLNL AUDIT 91-01

JUNE 3-7, 1991

PROGRAMMATIC AUDITORS:

AMY ARCEO	CRITERIA 5, 6, 17
JAMES BLAYLOCK	CRITERIA 1, 2, 18
ED COCOROS	CRITERIA 4, 7, 8, 13
NEIL COX	CRITERION 3 (SQA)
MARIO DIAZ	CRITERIA 1, 2, 18
KEN McFALL	CRITERION 3
CINDY PRATER	CRITERIA 12, 15, 16
RICK WEEKS	CRITERIA 12, 15, 16

TECHNICAL SPECIALIST:

RICHARD POWE  
DAVID STAHL

OBSERVERS:

BILL BELKE	NRC
BOB BRIENT	SWRI
JOHN BUCKLEY	NRC
ENGLEBRECHT VON TIESENHAUSEN	CLARK COUNTY, NEVADA
SUSAN ZIMMERMAN	STATE OF NEVADA

# QUALITY ASSURANCE PROGRAM PLAN

## Yucca Mountain Project

CONTROLLED COPY NO. 100

ISSUED TO: JIM CLARK

ORGANIZATION: SAIC

The person listed above is responsible for maintaining this manual and incorporating all subsequent revisions as they become available. This manual is subject to audit and recall by the LLNL-YMP Quality Assurance Manager and thus, should be carefully maintained and kept readily available. It is the property of LLNL and must be returned upon request or when leaving the Program.

Lawrence Livermore National Laboratory  
P.O. Box 808, Livermore, CA 94550

Quality Assurance

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

Subject: PREFACE

Approved:

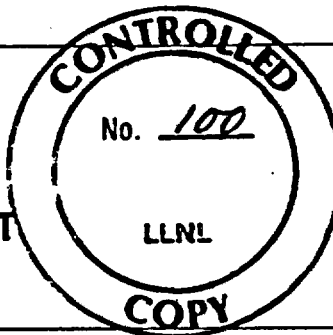
*[Signature]* 12/19/88  
LLNL-YMP Leader

The Quality Assurance Program Plan contains the requirements of the quality assurance program of the Lawrence Livermore National Laboratory's Yucca Mountain Project (LLNL-YMP). Implementing Procedures based on these requirements are maintained in the Quality Procedures Manual. Technical implementing procedures are maintained in the Technical Implementing Procedures Manual.

The QAPP, Quality Procedures Manual, and the Technical Implementing Procedures Manual collectively constitute the requirements and quality program procedures governing the LLNL-YMP.

Recommendations to improve the accuracy and completeness of these procedures are encouraged. It is only through a cooperative effort and commitment to quality by everybody that the quality assurance program can be effective.

It is the policy of the LLNL-YMP Leader to apply quality assurance methods to the extent necessary to assure that items and data produced in support of the YMP can be shown to be of adequate quality to be used in support of a DOE repository license application to the NRC.



No.: C

Revision: 8

Date: 3/28/91

Page: 1 of 3

## YUCCA MOUNTAIN PROJECT

Subject: QUALITY ASSURANCE PROGRAM PLAN  
TABLE OF CONTENTSApproved:  
*Carleen Good* 3/28/91

<u>TAB/CONTENTS</u>	<u>TITLE</u>	<u>DATE</u>	<u>REV</u>
LLNL QAPP 033-YMP-R	U.S. Nuclear Regulatory Commission Safety Evaluation	10/20/89	0
A Title Page Control Sheet	Title Page Control Sheet	6/23/89	0
B. Preface	Preface	12/19/88	0
C. Table of Contents	Table of Contents	3/28/91	8
CN NO. R 1-0-3	change notice: R 1	8/17/90	-
CN NO. R 1-0-2	change notice: R 1	3/30/90	-
CN NO. R 1-0-1	change notice: R 1	8/12/89	-
033-YMP-R 1	Organization	2/10/89	0
CN NO. R 2-0-3	change notice: R 2	2/19/91	-
CN NO. R 2-0-2	change notice: R 2	5/12/90	-
CN NO. R 2-0-1	change notice: R 2	8/12/89	-
033-YMP-R 2	Assurance	2/10/89	0
CN NO. R 3-0-4	change notice: R 3	3/21/91	-
CN NO. R 3-0-3	change notice: R 3	2/21/91	-
CN NO. R 3-0-2	change notice: R 3	5/9/90	-
CN NO. R 3-0-1	change notice: R 3	6/8/89	-
033-YMP-R 3	Scientific Investigation & Design Control	2/10/89	0
CN NO. R 4-0-1	change notice: R 4	2/19/91	-
033-YMP-R 4	Procurement Document Control	2/10/89	0
CN NO. R 5-0-1	change notice: R 5	2/19/91	-
033-YMP-R 5	Instructions, Procedures, Plans, & Drawings	2/10/89	0
033-YMP-R 6	Document Control	2/10/89	0



<u>TAB/CONTENTS</u>	<u>TITLE</u>	<u>DATE</u>	<u>REVISION</u>
033-YMP-R 7	Control of Purchased Items & Services	2/10/89	0
CN NO. R 8-0-2	change notice: R 8		
CN NO. R 8-0-1	change notice: R 8	8/12/89	-
033-YMP-R 8	Identification & Control of Items, Samples, & Data	2/10/89	0
033-YMP-R 9	Control of Processes	2/10/89	0
033-YMP-R 10	Inspection	2/10/89	0
033-YMP-R 11	Test Control	2/10/89	0
033-YMP-R 12	Control of Measuring & Test Equipment	2/10/89	0
033-YMP-R 13	Handling, Shipping, & Storage	2/10/89	0
CN NO. R 14-0-1	change notice: R 14	8/12/89	-
033-YMP-R 14	Inspection, Test, & Operating Status	2/10/89	0
033-YMP-R 15	Control of Non-Conforming Items	2/10/89	0
033-YMP-R 16	Corrective Action	2/10/89	0
033-YMP-R 17	Quality Assurance Records	2/10/89	0
033-YMP-R 18	Audits	2/10/89	0
033-YMP-R Appendix A	Terms & Definitions	2/10/89	0
CN NO. R Appendix A-0-12	change notice	2/19/91	
033-YMP-R Appendix B	Design Inputs	2/10/89	0
033-YMP-R Appendix C	Requirements for the Qualification of Inspection & Test Personnel	2/10/89	0
033-YMP-R Appendix D	Requirements for the Qualification of Non-Destructive Examination Personnel	2/10/89	0

<u>TAB/CONTENTS</u>	<u>TITLE</u>	<u>DATE</u>	<u>REV</u>
<b>033-YMP-R Appendix E</b>	<b>List of Typical QA Records</b>	<b>2/10/89</b>	<b>0</b>
<b>033-YMP-R Appendix F</b>	<b>Requirements for the Qualification of Quality Assurance Program Audit Personnel</b>	<b>2/10/89</b>	<b>0</b>
<b>033-YMP-R Appendix G</b>	<b>Requirements for Qualification of Existing Data Not Generated Under a QA Program Meeting the Requirements of 10 CFR 60 Subpart G</b>	<b>2/10/89</b>	<b>0</b>
<b>033-YMP-R Appendix H</b>	<b>Requirements for Computer Software Used to Support a High-Level Nuclear Waste Repository License Application</b>	<b>2/10/89</b>	<b>0</b>
<b>CN NO. R Appendix I-0-1</b>	<b>change notice</b>	<b>2/19/91</b>	<b>-</b>
<b>033-YMP-R Appendix I</b>	<b>Requirements for the Identification of Items &amp; Activities Subject to Quality Assurance Requirements</b>	<b>2/10/89</b>	<b>0</b>
<b>033-YMP-R Appendix J</b>	<b>Requirements for Peer Review</b>	<b>2/10/89</b>	<b>0</b>
<b>CN NO. R Appendix K-0-1</b>	<b>change notice</b>	<b>2/19/91</b>	<b>-</b>
<b>033-YMP-R Appendix K</b>	<b>Format &amp; Content Requirements for SCP Study Plans</b>	<b>2/10/89</b>	<b>0</b>



CHANGE NOTICE

CN No.: CN R 1-0-1

Affected Document: 033-YMP-R 1, Organization

Rev. 0

Prepared by: R.J. Oberle

Approved by: N/A

(Technical Area Leader)

(Date)

Approved by: David W. Short

8/11/89

(YMP QA Manager)

(Date)

Training Required:

Yes  No

Approved by: Bob Jordan

8/12/89

(YMP Project Leader)

(Date)

Currently Read as Follows:

Section 2.2, as published

Changed to Read:

Section 2.2, add the following text:

Allegations of inadequate quality shall be resolved in accordance with Sections 15 and 16 of this document and additional policy guidance and requirements specified by the Yucca Mountain Project Office.

NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT



CHANGE NOTICE

APPROVED FOR  
INTERIM USE

CN No.: R 1.0-0-3

Affected Document: 033-YMP-R 1.0, "Organization" Rev. 0

Prepared by: David W. Short

Approved by: N/A  
(Technical Area Leader) (Date)

Approved by: David W. Short 8-17-90  
(YMP QA Manager) (Date)

Training Required:  
Yes  No

Approved by: John L. Lovelace 8/17/90  
(YMP Project Leader) (Date)

Currently Read as Follows:

Figure 1.0.2, as published  
Appendix, as published

Changed to Read:

Figure 1.0.2 is changed to read as described on page 2 of this Change Notice.  
Appendix is changed to read as described on page 3 of this Change Notice.

NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT



CHANGE NOTICE

APPROVED FOR  
INTERIM USE

CN No.: 1.0-0-4<sup>2</sup> DWS 4/17/90

Affected Document: 033-YMP-R 1.0, "ORGANIZATION" Rev. 0

Prepared by: David W. Short

Approved by: N/A  
(Technical Area Leader) (Date)

Approved by: David W. Short 3/30/90  
(YMP QA Manager) (Date)

Training Required:  
Yes  No

Approved by: Phil J. Jovan 3/30/90  
(YMP Project Leader) (Date)

Currently Read as Follows:

- Section 2.3, first paragraph, second sentence, as published
- Section 2.3, fourth paragraph, as published
- Figure 1.0.1, as published
- Figure 1.0.2, as published
- Appendix, as published

Changed to Read:

- Section 2.3, first paragraph, second sentence:  
"Figure 1.0.1 illustrates the organizational relationship of the Energy Program Leader, the LLNL-YMP Leader, and the Quality Assurance Manager."
- Section 2.3, fourth paragraph:  
"The LLNL-YMP Leader and the Quality Assurance Manager report directly to the Energy Program Leader."
- Figure 1.0.1 is changed to read as described on page 2 of this Change Notice.
- Figure 1.0.2 is changed to read as described on page 3 of this Change Notice.
- Appendix is changed to read as described on page 4 of this Change Notice.

NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

No.: 033-YMP-R 1

Revision: 0

Date: December 15, 1988

Page: 1 of 7

Subject:

ORGANIZATION

Approved:

FEB 10 1989

Approved by: [Signature] 12/15/88  
Date  
Yucca Mountain Project Leader

Approved by: [Signature] 12/15/88  
Date  
Quality Assurance Manager

## 1.0 QUALITY ASSURANCE RESPONSIBILITIES

The LLNL-Yucca Mountain Project (LLNL-YMP) is responsible for establishing and executing a Quality Assurance Program Plan (QAPP). As appropriate the LLNL-YMP delegates to others, such as contractors, agents, or consultants, the work of establishing and executing the Quality Assurance (QA) program, or a portion thereof, but the LLNL-YMP retains complete responsibility. Any delegation for executing the QA Program Plan requirements is documented. The organizational structure, lines of communication, authority and duties of persons and organizations performing activities affecting quality are clearly established and delineated in writing. Activities affecting quality include both performing functions of attaining quality objectives and the QA functions. While the line organization is responsible for performing these activities properly, the QA organization verifies the proper performance of work through implementation of appropriate QA measures.

## 2.0 QA FUNCTIONS

The QA functions include assuring that an appropriate QA program is established, executed effectively, and verified by checking, auditing, surveillance and inspection, and assuring that activities affecting the quality functions are performed correctly. The persons and organizations performing QA functions have sufficient authority, access to work areas, and organizational freedom to identify quality problems; initiate, recommend, or provide solutions through designated channels; verify implementation of the solutions; and assure that further processing, delivery, installation, or use is controlled until proper disposition of a nonconformance, deficiency, or unsatisfactory condition occurs. This includes the ability to stop (or cause to be stopped) unsatisfactory work through established channels. Such persons or organizations have direct access to responsible management at a level where appropriate action can be effected and report to a management level at which the required authority and organizational freedom are provided, including sufficient independence from cost and schedule.

No.:	Revision:	Date:	Page:
033-YMP-R 1	0	December 15, 1988	2 of 7

## 1 DEDICATED QA POSITIONS

The person responsible for directing and managing the overall LLNL-YMP QA program is identified and has appropriate organizational position, responsibilities, and authority to exercise proper control over the QA program. This person has appropriate management and QA knowledge and experience, is at the same or a higher organization level as the highest line manager responsible for performing activities affecting quality, and is sufficiently independent from cost and schedule. Personnel in this position are responsible for approval of (1) QAPPs, changes thereto, and interpretations thereof and (2) implementing procedures and all changes thereto. This position has effective communication channels with other senior management positions. Personnel in this position have the responsibility and authority to verify the adequacy and effectiveness of QA plans, requirements, and QA program implementation by the LLNL-YMP and its subordinate organizations. Full-time dedicated QA positions are established by the LLNL-YMP. The LLNL-YMP Quality Assurance Manager and personnel considered "full-time dedicated" are not assigned duties that prevent full attention to QA responsibilities or conflict with the reporting and resolution of QA issues and problems.

### 2.2 AUTHORITY

Authority for the resolution of disputes involving quality arising from a difference of opinion between QA personnel and others is identified. This authority includes the ability of QA personnel to elevate the resolution of disputes to progressively higher organization levels through established channels to the DOE Project Office Quality Assurance Manager, if the dispute cannot be resolved within the LLNL-YMP.

### 2.3 ORGANIZATIONAL STRUCTURE

The organizational structure of the LLNL-YMP is depicted on organization charts appended to this Section. Figure 1.0.1 illustrates the organizational relationship of the Energy Program Leader, the LLNL-YMP Leader, the Quality Assurance Manager, and the Resource Planning and Control Manager. Figure 1.0.2 illustrates the organizational structure for the LLNL-YMP. The appendix documents the current staffing for the positions represented on these figures.

The Energy Program Leader delegates responsibility for meeting the YMP's scientific and quality assurance requirements to the LLNL-YMP Leader.

The LLNL-YMP Leader is responsible to the DOE Project Office Manager to assure that the Project activities are performed to a QAPP and that implementing procedures are consistent with the QAPP.

No.:	Revision:	Date:	Page:
033-YMP-R 1	0	December 15, 1988	3 of 7

The LLNL-YMP Leader, the Quality Assurance Manager, and the Resource Planning and Control Manager report directly to the Energy Program Leader.

The LLNL-YMP Leader may at his discretion delegate responsibility for fulfilling technical assignments to Technical Area Leaders and administrative tasks to a Project Administrator.

Technical Area Leaders assign Task Leaders to carry out specific responsibilities. Task Leaders are assisted by Principal Investigators and technical staff.

Integration of work performed by more than one Task Leader within a single technical area occurs at the Technical Area Leader level.

Coordination of work performed across technical area boundaries occurs at the LLNL-YMP Leader level.

The persons assigned QA functions have the required authority and organizational freedom to perform these functions.

### 3.0 QUALITY ASSURANCE PROGRAM PLAN

The Quality Assurance Program Plan (QAPP) applies to all items and activities affecting quality. The organizational structure and the responsibility of assignments are clearly established to assure that certain results, as described below, are obtained.

#### 3.1 ACHIEVEMENT AND MAINTENANCE OF QUALITY

Quality is achieved and maintained by those who have been assigned responsibility for performing work.

#### 3.2 VERIFICATION

Quality achievement is verified by persons or organizations not directly responsible for performing the work. Verification of conformance to established requirements (acceptance) is accomplished by individuals or groups within the QA organization unless specifically exempted elsewhere in this document.

### 4.0 MULTIPLE ORGANIZATIONS

If more than one organization is involved in the execution of activities affecting quality, then the responsibility and authority of the LLNL-YMP and each other organization is clearly established and documented.



No.:	Revision:	Date:	Page:
033-YMP-R 1	0	December 15, 1988	4 of 7

#### 4.1 DOCUMENTATION OF INTERFACES

External interfaces between the LLNL-YMP and other organizations and the internal interfaces between organizational units of the LLNL-YMP and changes thereto are documented. All interface responsibilities are defined and documented. Interfaces between the LLNL-YMP and the DOE Project Office and between the LLNL-YMP and other High-level Nuclear Waste Program participating organizations are described in the implementing procedures to the QAPP. From an overall standpoint, these interfaces are exchanges of technical requirements of work to be performed and liaison until completion of work. The DOE Project Office specifies the inter-participant implementing controls. The LLNL-YMP implementing procedures describe the methods of conducting inter-organizational interfaces.

The LLNL-YMP organizational structure for executing the QA programs is described in the LLNL-YMP QAPP. The LLNL-YMP Leader is responsible to the DOE Project Office Manager to assure that the Project activities are performed to a QAPP and implementing procedures that are consistent with the DOE Project Office's QAP.

CN:1.0-0-~~k~~<sup>2</sup> 206  
4/17/90  
page 2 of 4

APPROVED FOR  
INTERIM USE

### Lawrence Livermore National Laboratory

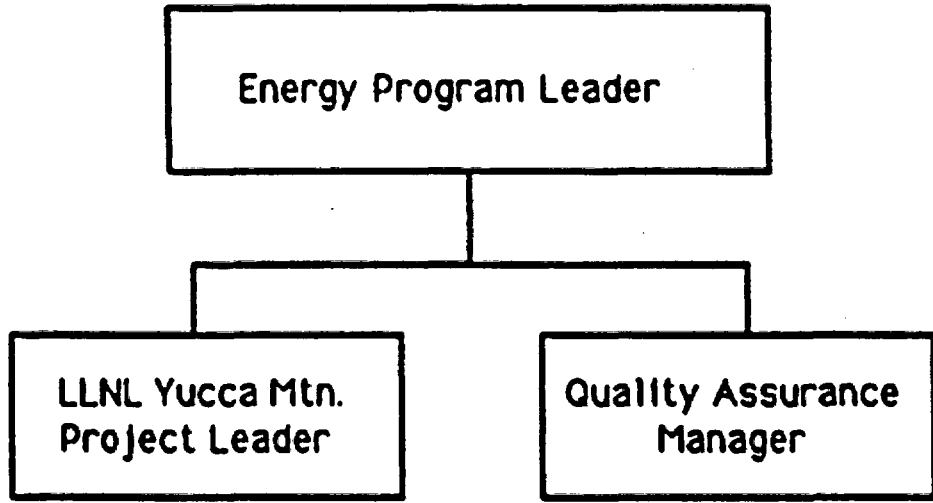


Figure 1.0.1

LLNL Yucca Mountain Project Organization Chart

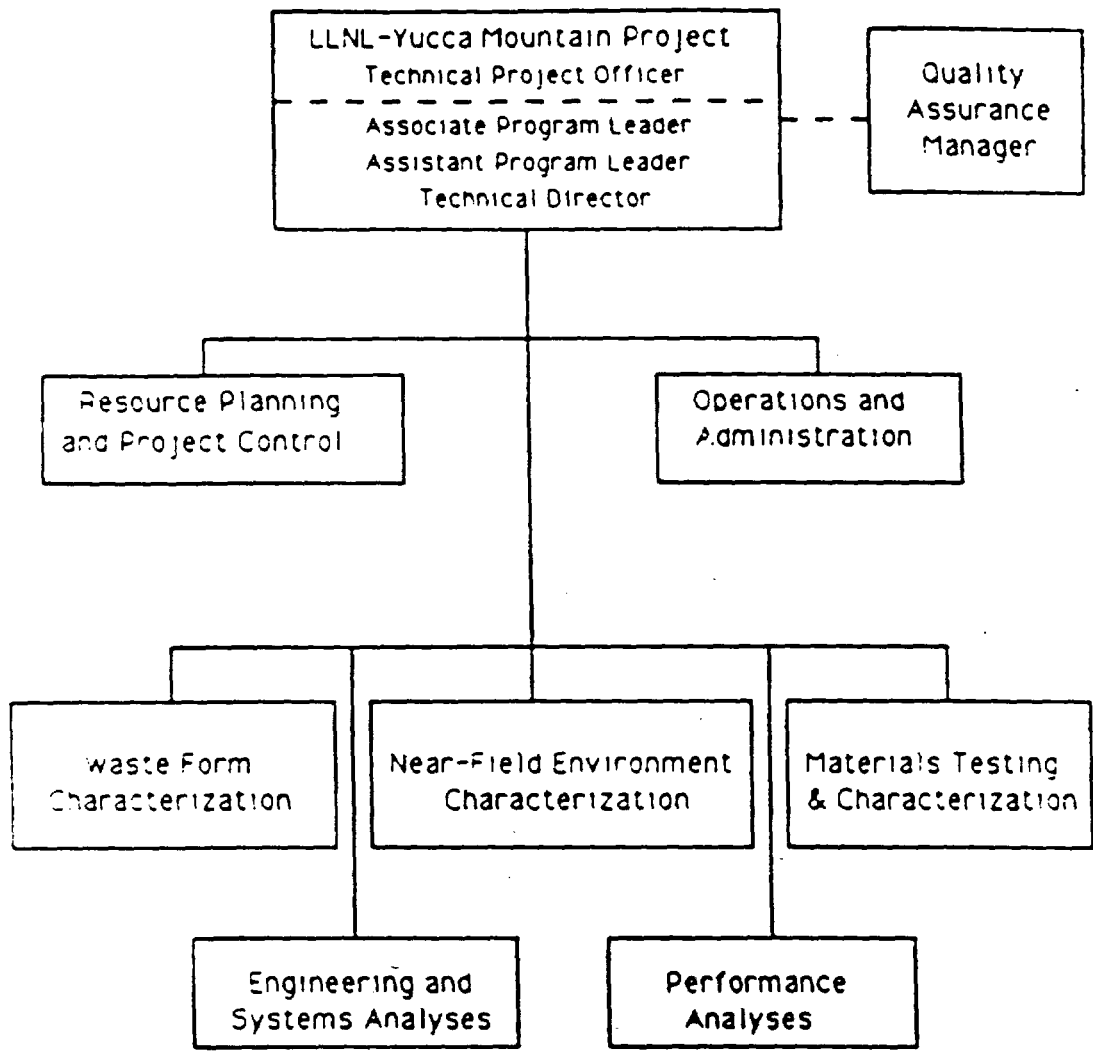


Figure 1.0.2

Change Notice R 1.0-0-3  
Page 3 of 3

### APPENDIX

Energy Program Leader	R. Schock
Quality Assurance Manager	D. Short
YMP Leader/Technical Project Officer	L. Jardine
Associate Project Leader	L. Ballou
Assistant Project Leader	J. Blink
Technical Director	D. Chesnut
Project Administrator	B. Bryan
Resource Planning & Project Control Manager	J. Podobnik
Technical Area Leaders:	
Waste Form Characterization	R. Stout
Near Field Environment Characterization	D. Wilder
Materials Testing & Characterization	W. Clarke
Engineering & Systems Analyses	D. Ruffner
Performance Analyses	D. Chesnut



CHANGE NOTICE

CN No.: R 2-0-3

Affected Document: 033-YMP-R 2, "Quality Assurance Program", Rev.0

Prepared by: Raymond E. Hamati

Approved by: N/A  
(Technical Area Leader) (Date)

Approved by: *RKD* 2-12-91  
(YMP QA Manager) (Date)

Training Required:  
Yes  No

Approved by: *F. J. J. J.* 2/19/91  
(YMP Project Leader) (Date)

Currently Read as Follows:

1. Section 1.6, Second sentence: "The approach .... assigned a QA level that is consistent ...."
2. Section 1.6, Third sentence: "The LLNL-YMP .... the appropriate quality assurance levels for all ...."
3. Section 1.6, Fourth (last) sentence: "Once assigned, the QA level for a particular item or activity is applied ...."
4. Section 2.1.1, Second sentence: "The preparation .... QA level assignments, except for project level documents ...."
5. Section 2.1.1, Third sentence: "In addition, ....QA level assignments."
6. Section 2.1.1, Sixth sentence: "It may be ....from QA level assignments."
7. Section 2.2, as published.

NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT

**CHANGED TO READ:**

1. Section 1.6, Second sentence: "The approach . . . . assigned QA controls that are consistent . . . ."
2. Section 1.6, Third sentence: "The LLNL-YMP . . . . the appropriate quality assurance controls for all . . . ."
3. Section 1.6, Fourth (last) sentence: "Once assigned, the QA controls for a particular item or activity are applied . . . ."
4. Section 2.1.1, Second sentence: "The preparation . . . . QA controls, except for project documents . . . ."
5. Section 2.1.1, Third sentence: "In addition, . . . . QA controls."
6. Section 2.1.1, Sixth sentence: "It may be . . . . QA controls."
7. Section 2.2, Deleted.



CHANGE NOTICE

**APPROVED FOR  
INTERIM USE**

CN No.: R 2-0-2

Affected Document: 033-YMP-R 2, "Quality Assurance Program" Rev. 0

Prepared by: E. DeLeon

Approved by: N/A  
(Technical Area Leader) (Date)

Approved by: David W. Short 5/11/90  
(YMP QA Manager) (Date)

Training Required:  
Yes  No

Approved by: [Signature] 5/12/90  
(YMP Project Leader) (Date)

Currently Read as Follows:

Section 1.0 First paragraph, third and fourth sentences (as written)

Changed to Read:

Section 1.0 First paragraph, third and fourth sentences:

"Pending receipt of DOE Project Office approval, the QAPP may be issued by LLNL-YMP for interim use. When the QAPP is issued for interim use, the transmittal record is appropriately marked to indicate that it is for interim use."

NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT



CHANGE NOTICE

CN No.: CN R 2-0-1

Affected Document: 033-YMP-R 2, Quality Assurance Program

Rev. 0

Prepared by: R.J. Oberle

Approved by: N/A

(Technical Area Leader)

(Date)

Approved by: David W. Short

8/11/89

(YMP QA Manager)

(Date)

Training Required:

Yes  No

Approved by: Phil Jenkins

8/12/89

(YMP Project Leader)

(Date)

Currently Read as Follows:

Section 1.0, as published

Changed to Read:

Section 1.0, add the following text:

Management of other organizations participating in the quality assurance program shall regularly review the status and adequacy of that part of the quality assurance program which they are executing.

NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT



**NUCLEAR WASTE MANAGEMENT PROGRAM**  
CONTROLLED COPY NO. 0100

No.: 033-YMP-R 2  
Revision: 0  
Date: December 15, 1988  
Page: 1 of 12

Subject:  
**QUALITY ASSURANCE PROGRAM**

Approved: **FEB 10 1989**

Approved by: [Signature] 12/22/88 Date  
Yucca Mountain Project Leader

Approved by: [Signature] 12/22/88 Date  
Quality Assurance Manager

### 1.0 EXTENT OF THE QUALITY ASSURANCE PROGRAM

The Quality Assurance (QA) Program for the LLNL-YMP consists of the LLNL-YMP Quality Assurance Program Plan (QAPP), quality procedures, and technical implementing procedures, and its subcontractors' QA Program Plans, quality procedures, and technical procedures. The LLNL-YMP submits this QAPP to the DOE Project Office for approval. Pending receipt of DOE Project Office approval, the QAPP and quality procedures may be issued by LLNL-YMP for interim use. When any QAPP or quality procedure is issued for interim use, the transmittal record is appropriately marked to indicate that it is for interim use. Approval of QA Plans by the DOE Project Office is documented.

The Quality Assurance Program Plan (QAPP) includes consideration of the technical aspects of the activities affecting quality and is generated by the LLNL-YMP QA organization with assistance from the LLNL-YMP technical staff. The QAPP provides instructions to implement and apply the QA requirements to the technical activities of the LLNL-YMP. The QAPP is planned, implemented, and maintained in accordance with the DOE Project Office QAPP and is consistent with and addresses all of the applicable requirements of the DOE Project Office QA Plans. Management above or outside of the QA organization regularly receives information as to the scope, status, adequacy, compliance, etc. of the QA Program.

Management performs readiness reviews, as deemed appropriate. Readiness reviews apply to major scheduled/planned activities which affect quality. Readiness reviews are used to verify that specified prerequisites and programmatic requirements are identified prior to starting a major activity.

The hierarchy of criteria applicable to the Yucca Mountain Project are shown in Figure 1. With the exception of the CFR, where deviations between the requirements of the higher-tier documents referenced in the Figure and this QAPP exist, the requirements of this document prevail.

No.:	Revision:	Date:	Page:
033-YMP-R 2	0	December 15, 1988	2 of 12

## 1.1 QA CRITERIA

The QA Criteria and specific requirements associated with those criteria are adapted to the LLNL-YMP activities through this QA plan. When a specific criteria is not applicable to LLNL-YMP activities, it is noted in the QAPP and recorded on the DOE Project Office's checklist with justification of its exception as required in Paragraph 1.2.

## 1.2 CONTENTS OF THE QAPP

The Quality Assurance Program of the LLNL-YMP includes the QAPP plus the implementing procedures required to provide and implement control over activities affecting quality. The control is consistent with the importance of the activity. Implementing procedures are developed by qualified personnel and are reviewed and approved by the LLNL-YMP QA organization prior to implementation to assure that the implementing procedures meet all the requirements of the LLNL-YMP QAPP.

The LLNL-YMP QAPP is submitted to the DOE Project Office for review and approval prior to implementation and includes a checklist based on the DOE Project Office QAPP which identifies how and where each requirement of the DOE Project Office QAPP is addressed.

## 1.3 QAPP VERIFICATION

Assurance that the QA requirements are adequately addressed and effectively implemented is provided by the DOE Project Office during the review and approval of the LLNL-YMP QAPP, monitoring and surveillance operations, and audits of activities. The LLNL-YMP also monitors the LLNL-YMP QAPP through internal audits, audits of subcontractors, and surveillance of operations to assess the adequacy of LLNL-YMP program and assure its effective implementation.

## 1.4 USE OF DATA NOT GENERATED UNDER QA CONTROLS

The QA program for the LLNL-YMP provides for the acceptance of data or data interpretations for use in licensing activities that were not generated under the controls of a QA program which meets the requirements of 10 CFR 60, Subpart G. These requirements are contained in Appendix G of this document. Once accepted, this data is classified as "primary data" for licensing purposes.

No.: 033-YMP-R 2	Revision: 0	Date: December 15, 1988	Page: 3 of 12
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## 1.5 METHODOLOGY FOR FORMULATING THE "Q" LIST AND QUALITY ACTIVITIES LIST

Items and activities to be placed on the Project Q-List are determined by the DOE Project Office. Requirements for the identification of items and activities to be included on the Q-list are contained in Appendix I to the LLNL-YMP QAPP.

## 1.6 APPROACH TO QA

The LLNL-YMP uses an approach to QA that recognizes the differences between items and activities that affect radiological health and safety and waste isolation and those that do not. The approach is designed to assure that each item or activity is assigned a QA level that is consistent with its potential impact or importance, or both, in terms of radiological health and safety, waste isolation, nonradiological health and safety, the U.S. Nuclear Regulatory Commission (NRC) licensing requirements, the operability and maintainability of the repository, costs, and schedules. The LLNL-YMP or DOE Project Office identifies the appropriate quality assurance levels for all items and activities that affect quality associated with site characterization, facility and equipment construction, facility operations, performance confirmation, permanent closure, and decontamination and dismantling of surface facilities. Once assigned, the QA level for a particular item or activity is applied by all LLNL-YMP personnel involved in the activity.

## 1.7 APPLICATION OF QA

A QAPP that complies with the requirements of the DOE Project Office QAP is established by the LLNL-YMP at the earliest practicable time consistent with the schedule for accomplishing the activities. The LLNL-YMP QAPP specifies that procedures required to implement the requirements are properly documented, controlled, and mandated through a policy statement or equivalent document signed by a responsible official. The QAPP is applied throughout the life of the LLNL-YMP in accordance with the established policies, procedures, and instructions. The QAPP applies to all items and activities affecting quality. It also identifies other organizational entities participating in the LLNL-YMP and the designated functions of these organizations. The QAPP provides control over activities that affect the quality of the identified structures, systems, and components to an extent consistent with their importance. The activities that affect quality are accomplished under suitably controlled conditions. Controlled conditions include the use of appropriate equipment, suitable environmental conditions for accomplishing the activity, and assurance that all prerequisites for the given activity are satisfied. The program takes into account the need for special controls, processes, test equipment, tools, and skills to attain the required quality, and the need for verification of quality by inspection, test, peer review, or a combination of these. The program provides for indoctrination and, as necessary, training of personnel performing activities that affect quality to assure that suitable proficiency is achieved and maintained.

No.: 033-YMP-R 2	Revision: 0	Date: December 15, 1988	Page: 4 of 12
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The DOE Project Office and the LLNL-YMP regularly assess the status and adequacy of the QA Programs of the LLNL-YMP by means of overview, surveillance, and audit activities.

## 2.0 APPLICATION OF GRADED QUALITY ASSURANCE

### 2.1 SCOPE

#### 2.1.1 EXTENT OF APPLICATION

The requirements of this section are applicable (as defined herein) to all items and activities that affect quality during geologic repository site characterization, facility and equipment design, procurement and construction, facility operation, performance confirmation, permanent closure, decommissioning, and dismantling of surface facilities. The preparation of administrative and management planning documents do not require QA level assignments, except for project level documents which are specifically required by the Nuclear Waste Policy Act of 1982 (as amended), or are required for licensing. In addition, procurement of administrative items (i.e., office supplies) do not require QA level assignments. The LLNL-YMP is charged with developing an implementing procedure for the application of graded QA. The procedure is in consonance with the QA requirements specified herein. It may be necessary to exempt certain LLNL-YMP items and activities from QA level assignment. Requests for exemptions are documented and contain sufficient justification to support the exemption request. Such exemptions are approved by the DOE Project Office Quality Assurance Manager.

#### 2.1.2 PURPOSE OF A GRADED QA PROGRAM

The purpose of a graded QA program is to select the QA requirements and measures to be applied to items and activities in the Yucca Mountain Project consistent with their importance to safety, waste isolation, and the achievement of U.S. Department of Energy (DOE) mission objectives. This is accomplished by deliberate quality planning and selective application of QA requirements on the item or activity performed, with varying degrees of QA applied depending on item function, complexity, consequence of failure, reliability, replicability of results, and economic considerations.

#### 2.1.3 DETERMINATION OF THE DEGREE TO WHICH APPLICATION IS NECESSARY

This approach involves (1) identifying those items and activities whose failure could cause undue risks to the public and facility personnel or extended interruption of facility operation with critical economic losses, or both, and (2) assuring that these items and activities are covered by a commensurate QA program. Alternatively, an item whose failure or malfunction would result only in operational inconvenience or negligible economic loss deserves only a quality inspection by the LLNL-YMP upon the delivery of the item. Between these two extremes, there are varying degrees of QA to achieve the desired confidence in the quality of the completed line of activity.

#### 2.1.4 FLEXIBILITY OF QA REQUIREMENT SELECTION

The graded approach set forth provides flexibility in the selection of the quality assurance requirements to be applied to an item or activity that is commensurate with the relative importance of the role or function assigned to the item or activity.

#### 2.2 REQUIREMENTS

The requirements specified in this section are used to apply the graded quality philosophy to all YMP items and activities.

##### 2.2.1 SELECTION OF QUALITY ASSURANCE LEVEL AND QA REQUIREMENTS

The appropriate Quality Assurance Level for any item or activity is determined by the application of decision criteria as provided by the DOE Project Office. The basis for the selection of the Quality Assurance Level and assigned QA requirements are documented. The assigned Quality Assurance Levels and QA requirements are submitted to the DOE Project Office for review, resolution of comments, and approval prior to implementation or use. This review and approval is performed by the DOE Project Office Quality Assurance Manager and appropriate DOE Project Office Branch Chiefs.

##### 2.2.2 SELECTION OF SPECIFIC QA LEVELS

This approach incorporates three quality assurance levels (QA level) of which one is assigned to each technical task that affects the quality of the LLNL-YMP. The definition, application, and assignment to each of the three QA levels are described in the following discussion.

**2.2.2.1 QA Level I** - are those radiological health and safety related items and activities that are important to either safety or waste isolation and that are associated with the ability of a geologic nuclear waste repository to function in a manner that prevents or mitigates the consequences of a process or event that could cause undue risk to the radiological health and safety of the public. Items and activities important to safety are those engineered structures, systems, components, and related activities essential to the prevention or mitigation of an accident that could result in a radiation dose either to the whole body or to any organ of 0.5 rem or greater either at or beyond the nearest boundary of the unrestricted area at any time until the completion of the permanent closure of the repository. Items and activities important to waste isolation are those barriers and related activities which must meet the criteria that address post-closure performance of the engineered and natural barriers to inhibit the release of radionuclides. The criteria for items or activities important to safety and waste isolation are found in 10CFR60, and 40CFR191.

**2.2.2.2 QA Level II** - are those activities and items related to the systems, structures, and components requiring a level of quality assurance sufficient to provide for reliability, maintainability, public and repository worker nonradiological health and safety, repository worker radiological health and safety and other operational factors that would have an impact on DOE Project Office concerns and the environment.

No.:  033-YMP-R 2	Revision:  0	Date:  December 15, 1988	Page:  6 of 12
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2.2.2.3 QA Level III - are those activities and items not classified as QA Levels I or II.

### 2.2.3 APPLICATION OF LEVELS

#### 2.2.3.1 QA LEVEL I

QA Level I is the most stringent level of quality assurance. It is applied to those items and activities that may affect the ability of the repository to meet the preclosure and postclosure performance objectives specified by the NRC and the U.S. Environmental Protection Agency (EPA) for protecting public health and safety from radiological hazards. QA Level I activities on the Q-List will provide the primary data input to the basis for the NRC to authorize construction and to issue a license for the DOE to receive and possess source, special nuclear, and byproduct material (waste) at the geologic repository. QA Level I control and documentation are applied to activities, including site characterization, scientific investigation, facility and equipment design, procurement, and construction, facility operation, performance confirmation, permanent closure, and decontamination and dismantling of surface facilities when they are specifically concerned with the protection of the public's health and safety with respect to a radiological hazard. To keep radionuclides out of man's environment, a high level radioactive waste repository will utilize engineered systems, structures, and components to contain the waste and assure the short-term safety. The repository also will utilize the natural barriers to afford long-term isolation. Within this context, QA Level I must be applied for near-term safety as well as long term isolation as per the following:

- o Where items and activities could affect the preclosure radiological health and safety of the general public. Specifically, this means items and activities that could cause, or result in, an accident that could result in a radiation dose, either to the whole body or to any organ, of 0.5 rem or greater, either at or beyond the nearest boundary of the unrestricted area, at any time until the permanent closure of the repository.
- o Where items and activities will provide primary data which will be relied on for performance assessment of the repository system. This data are the field and laboratory data and subsequent analyses that provide the basis for determining and demonstrating that the natural and the engineered systems of the repository are capable of meeting the performance objectives for waste containment and isolation. This includes all experiments and research which have a significant impact to site-characterization or are an essential part of the data base that directly support the final design of the repository and waste package performance.
- o Where activities could adversely impact the waste isolation capabilities of the engineered and natural barriers.
- o Where items are relied on to meet the postclosure performance objectives of the engineered barriers of the repository system.

- o Where items and activities that, having failed, could cause a failure of a QA level I item, or irretrievable loss of QA level I data.
- o The design phase that involves the preparation of detailed design documents (such as drawings, specifications, and analyses) is assigned a QA Level of I. One of the purposes of this design phase is to define items that will be procured and/or constructed as a result of the design activity. The definition of items includes a detailed description of their function and interrelationships. As the design phase proceeds, and the QA level for items is identified and approved, design, procurement, and construction activities are governed by the QA level assigned to the item.

### 2.2.3.2 QA LEVEL II

QA Level II is the second highest level of quality assurance. QA Level II controls and documentation are applied to the LLNL-YMP activities and items that are specifically concerned with nonradiological operation of the exploratory shaft facilities and repository, and the radiological safety of the repository worker. The high-level waste (HLW) repository will utilize engineered systems, structures, and components which are designed, constructed, fabricated, tested, and operated to meet the performance objectives during the operational phase and to minimize the nonradiological hazard to the public and repository worker and the radiological hazard to the repository worker. Additionally, activities that have a major impact on project costs or schedules that could delay the achievement of DOE/Office of Civilian Radioactive Waste Management (OCRWM) milestones are appropriately controlled. Therefore, Quality Assurance Level II is applied to activities and items as follows:

- o Where items and activities that are essential to the design, construction, and operation of the repository or of the exploratory shaft facility, and could have a major impact on the non-radiological health and safety of the public and repository worker.
- o Where items and activities which having failed or which are performed inadequately would cause repository workers to be exposed to radiation or radioactive contamination levels in excess of the limits expressed in 10CFR20.
- o Where items and activities could affect the retrievability of waste up to the time of repository closure.
- o Where items and activities that involve the nonradiological operational reliability and maintainability of engineered systems, structures, or components.
- o The design phase that involves the comparative technical analysis of alternatives/methods/equipment to determine which alternative/method/equipment is preferred, is assigned a QA Level of II prior to execution. Where a particular item can be identified and defined during this phase, a separate QA Level assignment is made for that item. Once the QA Level for such an item is identified and approved, design procurement and construction activities are governed by the QA Level assigned to the item.

- o Where items and activities that, having failed, could result in a major cost overrun.
- o Where items and activities that, if failed, could result in a major schedule slippage.

Quality Assurance Level II activities may have as much importance as Quality Assurance Level I activities; however, except when used to support a Quality Assurance Level I activity as indicated in the following, they do not provide primary information in the licensing efforts. In most cases, activities controlled in accordance with a Quality Assurance Level II program cannot be used subsequently to directly support Quality Assurance Level I activities unless it can be substantiated that quality assurance requirements equivalent to those which would have been applied to a Quality Assurance Level I activity were implemented or that a technical justification process is applied in accordance with the DOE Project Office Administrative Procedures.

#### 2.2.3.3 QA LEVEL III

QA Level III is the least stringent level of Quality Assurance. Level III Quality Assurance items and activities are such that they have no major function in the characterization of the site and design of the repository, but they require good practices for the intended use. Design phases which are purely preliminary and are conducted to define the range of alternatives/methods/equipment which are felt to be worthy of more detailed study are assigned a QA level of III prior to execution. Those activities controlled in accordance with a Quality Assurance Level III program cannot subsequently be used to directly support Quality Assurance Level I activities.

In some cases, data or data interpretations generated as a result of activities controlled in accordance with QA Level II or III programs, or activities performed prior to the complete implementation of the LLNL-YMP QAPP may be used in the licensing process as background or corroborative information.

#### 2.2.4 GENERAL

The requirements contained in this document apply to Quality Assurance Levels I and II items and activities unless otherwise noted herein. The requirements imposed for QA Level III items and activities are those managerial, administrative, scientific, engineering, commercial, and laboratory practices that are commonly used by the LLNL-YMP.



No.: 033-YMP-R 2	Revision: 0	Date: December 15, 1988	Page: 9 of 12
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### 3.0 QA ACTIVITIES

#### 3.1 OVERVIEW

The LLNL-YMP performs an overview of the QA activities of all organizations (including subcontractors doing supportive work) under their purview. Overview includes the following as appropriate:

- o The review and approval of subcontractor QAPPs.
- o Surveillance of activities affecting quality to verify compliance with requirements.
- o Performance of quality audits to verify the adequacy and compliance of QA programs.

#### 3.2 REVIEW AND APPROVAL OF THE LLNL-YMP QA PROGRAM

The LLNL-YMP establishes procedures for the review of its subcontractor QA program documentation for adequacy, completeness and relevance. The procedures identify the types of documents to be submitted by the subcontractor for review and approval, assign project responsibility for review, and identify the methods for documenting review and approval action.

Views of the subcontractor's QA program documentation may be recorded on checklists or other forms designated by the LLNL-YMP that specify the criteria for acceptability and indicate conformance or nonconformance.

### 4.0 MANAGEMENT ASSESSMENT

#### 4.1 FREQUENCY OF MANAGEMENT ASSESSMENTS

Management assessments are conducted at least annually for determining (1) the effectiveness of the system and management controls that are established to achieve and assure quality, and (2) the adequacy of resources and personnel provided to the QA program. Management verifies that the QA program is being effectively implemented and that personnel are trained to the QA requirements of the program.

#### 4.2 PERFORMANCE OF MANAGEMENT ASSESSMENTS

Management assessments are performed by the DOE Project Office and the LLNL-YMP. Procedures are developed for planning, organizing, performing, and documenting the management assessment conducted, including the analysis and reporting of the results and the tracking of recommendations. Copies of all management assessments are provided to the DOE Project Office and the DOE Project Office Quality Assurance Manager. The DOE Project Office makes appropriate submittals of management assessment reports to OCRWM. Management above or outside the QA organization is responsible for the management assessment activity.

No.:	Revision:	Date:	Page:
033-YMP-R 2	0	December 15, 1988	10 of 12

## 5.0 PERSONNEL SELECTION, INDOCTRINATION, AND TRAINING PROCEDURES

### 5.1 ESTABLISHMENT OF REQUIREMENTS

Requirements are established for the selection, indoctrination, and training of personnel performing or verifying activities that affect quality. The requirements establish position descriptions that set forth minimum personnel qualifications and provide for appropriate indoctrination or training or both, prior to initiation of activities that affect quality. In addition to the following requirements for indoctrination and training, personnel performing activities that specifically require certification by applicable codes and standards (e.g., lead auditors, inspectors, testers, nondestructive examiners, etc.) are certified in accordance with the detailed requirements specified in Appendix C, D, or F, as applicable.

#### 5.1.1 POSITION DESCRIPTION

Minimum education and experience requirements are established and documented in position descriptions for each position involved in the performance of activities that affect quality.

#### 5.1.2 PERSONNEL QUALIFICATION EVALUATION

Personnel selected have education and experience commensurate with the minimum requirements specified in the position description. Relevant education and experience are verified. This verification is documented. The initial capabilities of an individual are based upon an evaluation of their education, experience, and training and are compared to those established for the position. Evaluations are documented by managers or supervisors responsible for the activities to be performed.

#### 5.1.3 INDOCTRINATION

Prior to assigning personnel to perform activities affecting quality, the personnel are indoctrinated as to the purpose, scope, methods of implementation, and applicability of the following documents (including changes thereto), as a minimum, as they relate to the work to be accomplished. Indoctrination is accomplished by the use of a mandatory reading list, by group classroom presentations, by video presentation, or other instructional methods.

- o QAPPs
- o Implementing Procedures and Work Instructions (applicable to the individual's responsibilities).
- o Regulations
- o Project level Documents

No.:	Revision:	Date:	Page:
033-YMP-R 2	0	December 15, 1988	11 of 12

#### 5.1.4 TRAINING

Prior to assigning personnel to perform quality affecting activities, training is conducted, if needed, to gain the required proficiency. The training (in-depth instruction) includes the principles, techniques, and requirements of the activity. In-depth instruction is achieved through internal or external classroom sessions, classroom sessions supplemented by hands-on workshops, on-the-job training, other instructional methods, or combinations thereof.

#### 5.1.5 PROFICIENCY EVALUATION

After the initial personnel qualification evaluation, the job proficiency of personnel who perform activities affecting quality is evaluated and documented at least annually. Proficiency evaluations are performed in conjunction with periodic or day-to-day employee performance evaluations. Proficiency evaluations are performed by managers or supervisors who have responsibility for the activities being performed or verified.

#### 5.1.6 RECORDS

Records of personnel qualification evaluations, indoctrination, training, and proficiency evaluations are retained as lifetime QA records. These records include, as a minimum, the items listed below.

##### 5.1.6.1 Personnel Qualification Evaluation Records

Records of the verification and evaluation of a candidate's education, experience, and training, compared to those required for the position.

##### 5.1.6.2 Indoctrination Records

Records of indoctrination which include the objective and content of the indoctrination, date or dates of indoctrination, and other applicable information.

##### 5.1.6.3 Training Records

Records of training which include the objective(s) and content of the training, name of the instructor, attendees, dates of attendance, and result of proficiency evaluations (where applicable), and other applicable information.

##### 5.1.6.4 Proficiency Evaluation Records

Records of proficiency evaluation include, as a minimum, the name of the evaluated employee, the evaluator, evaluation results, date of evaluation, and the activities covered by the evaluation.

# CRITERIA FOR QUALITY ASSURANCE

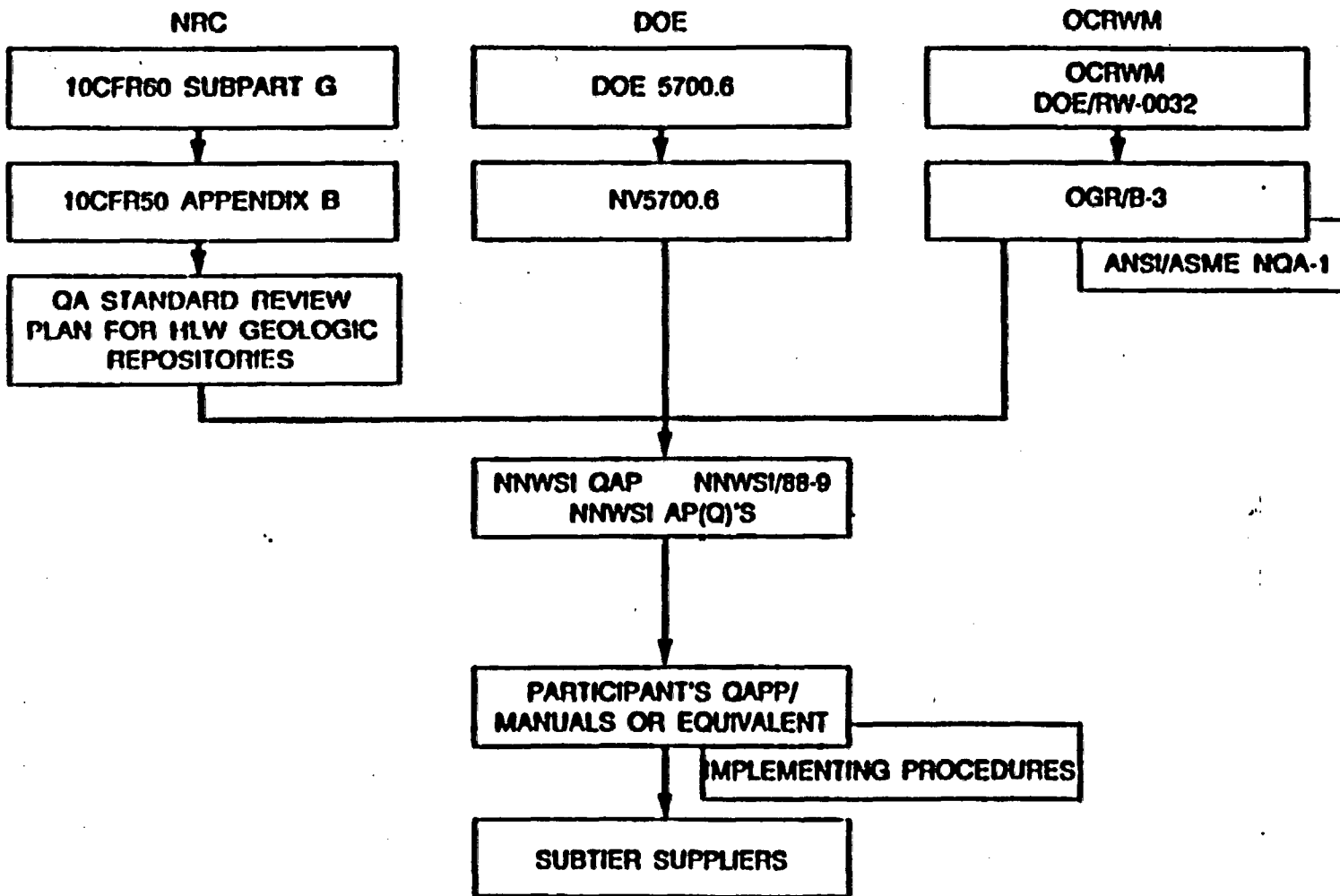


FIGURE 1

No.:	033-YMP-R 2
Revision:	0
Date:	December 15, 1988
Page:	12 of 12



**APPROVED FOR  
INTERIM USE**

**CHANGE NOTICE**

CN No.: R3-0-4

Affected Document: 033-YMP-R3, "Scientific Investigation  
Control and Design Control"

Prepared by: Raymond E. Hamati

Approved by: N/A  
(Technical Area Leader) (Date)

Approved by: RKDamm 3-20-91  
(YMP QA Manager) (Date)

Training Required:  
Yes  No

Approved by: [Signature] / FOR L.J. JARDINE 3-21-91  
(YMP Project Leader) (Date)

Currently Read as Follows:

- 1. Section 1.1.2, First sentence: As published

Changed to Read:

- 1. Section 1.1.2, First sentence: Delete

**NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT**

**CHANGE NOTICE**

CN No.: R 3-0-3

Affected Document: 033-YMP-R.3, "Scientific Investigation Control  
and Design Control"

Rev.0

Prepared by: Raymond E. Hamati

Approved by: N/A  
(Technical Area Leader) (Date)

Approved by: RKD 2-22-91  
(YMP QA Manager) (Date)

Training Required:  
Yes  No

Approved by: Jan A. Blawie 21 Feb 91  
(YMP Project Leader) (Date)

**Currently Read as Follows:**

1. Section 1.1.1.2, as published
2. Section 1.1.2, First sentence: "The scientific .... the appropriate QA Level ...."
3. Section 1.2, as published
4. Section 1.7, Second sentence: "The LLNL-YMP .... Quality Assurance level assignments."
5. Section 1.9.3, "REPORTING INDEPENDENCE OF PERSONNEL", as published
6. Section 2.1.2, "QUALITY ASSURANCE LEVEL ASSIGNMENT" and "All design .... assigned a Quality Assurance Level ...."
7. Section 2.4.5, as published
8. Section 2.4.5.3, Last bullet, first sentence "....approved by management superior to the supervisor."

**CHANGED TO READ:**

1. Section 1.1.1.2, delete "the Quality Assurance Levels, or"
2. Section 1.1.2, First sentence: "The scientific ....the appropriate QA controls ...."
3. Section 1.2, deleted
4. Section 1.7, Second sentence: "The LLNL-YMP .... Quality Assurance controls."

**NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT**

5. Section 1.9.3, "REPORTING INDEPENDENCE OF PERSONNEL", deleted

Replace with:

**"1.9.3. PERSONNEL PERFORMING VERIFICATION**

Scientific investigation verification is performed by any competent individual or individuals or group or groups other than those who performed the original investigation. This includes the following:

1.9.3.1

Individuals or groups from the originator's same organization.

1.9.3.2

Individuals or groups from other organizations contracted for this purpose.

1.9.3.3

The originator's supervisor providing all of the following requirements are met:

- The supervisor is the only individual in the organization competent to perform verification.
- The supervisor did not establish the technical input used, specify a singular technical approach, or rule out certain technical considerations.
- The rationale for satisfying the two requirements above is documented and approved by the YMP Leader or designee . The QA manager concurs with this rationale."

6. Section 2.1.2, "QUALITY ASSURANCE CONTROLS" and "All design . . . assigned Quality Assurance controls . . ."

7. Section 2.4.5, Remove the word "certified":

"... by any competent individual or individuals or group or groups ...."

8. Section 2.4.5.3, Last bullet, first sentence.

"...approved by the YMP Leader or designee."



CHANGE NOTICE

APPROVED FOR  
INTERIM USE

CN No.: R-3-0-2

Affected Document: QAPP R-3 "Scientific Investigation Control  
and Design Control" Rev. 0

Prepared by: David W. Short

Approved by: NA  
(Technical Area Leader) (Date)

Approved by: David W. Short 5/9/90  
(YMP QA Manager) (Date)

Training Required:  
Yes  No

Approved by: Paul L. Jarchi 5/9/90  
(YMP Project Leader) (Date)

CHANGE NOTICE CN NO. R 3-0-1 IS RESCINDED

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CHANGE NOTICE

CN No.: R 3-0-1

Affected Document: QAPP R 3, "Scientific Investigation Control and Design Control" Rev. 0

Prepared by: Alan Russell

Approved by: N/A  
(Technical Area Leader) (Date)

Approved by: *R. G. E. Smith* 6/8/89  
(YMP QA Manager) (Date)

Training Required:  
Yes  No

Approved by: *Jodi L. Jaroline* 6/8/89  
(YMP Project Leader) (Date)

Currently Read as Follows:

Section 1.1.2, add a new paragraph (see below)

Changed to Read:

Section 1.1.2, add a new 1st paragraph as follows:

Scientific planning documents consist of Study Plans for site characterization activities and Scientific Investigation Plans for all other activities. These are higher level planning documents which describe a group of activities within a common technical area. These documents also identify additional planning documents called Activity Plans which are prepared for each activity or a combination of activities. Activity Plans provide the sequence and details of how the work is performed and how applicable QA procedures are implemented.

NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

Subject: SCIENTIFIC INVESTIGATION CONTROL AND DESIGN CONTROL

Approved: FEB 10 1989

Approved by: *A. Sallan* <sup>12/22/88</sup>  
Date  
Yucca Mountain Project Leader

Approved by: *R. E. Schum* <sup>12/22/88</sup>  
Date  
Quality Assurance Manager

## 1.0 SCIENTIFIC INVESTIGATION CONTROL

### 1.1 PREPARATION OF PLANS

#### 1.1.1 RESPONSIBILITIES OF THE PRINCIPAL INVESTIGATOR

Prior to the start of any scientific investigation, a scientific investigation planning document for that investigation is developed. Scientific investigations categorized as site characterization activities as defined in the Nuclear Waste Policy Act (as amended) utilize study plans as the scientific investigation planning document. The DOE Project Office conducts a technical, QA, and management review of scientific investigation planning documents and approves the document prior to implementation. Study plans are reviewed and approved by OCRWM prior to implementation. Such planning documents contain or reference the following:

##### 1.1.1.1 Description of Work to be Performed

A description of the work to be performed in the scientific investigation and the proposed methodology for accomplishing the work, including a discussion of the overall purpose for the work is provided in the scientific investigation planning documents. References to any applicable regulations, requirements, performance criteria, key issues, issues, information needs, higher level scientific investigation planning documents, or Work Breakdown Structure (WBS) items, for which the work is to be performed are provided. This discussion identifies all of the factors and concerns that are important for the planning or the performance of the scientific investigation, including identification, explanation, and justification for areas where scientific notebooks are to be used.

##### 1.1.1.2 Description of Previous Work

A description of any previous work which will be used in support of the scientific investigation, including the identification of the Quality Assurance Levels, or Quality Assurance (QA) controls, under which that previous work was performed. Note: This requirement does not apply to study plans.

### 1.1.2 PLANNING DOCUMENTS

The scientific investigation planning document contains a level of detail which would enable an independent reviewer to determine the appropriate QA Level to be applied to the investigation. For Site Characterization activities the purpose and key milestones of study plans are described in the SCP. The format and content of study plans meet the requirements of 033-YMP-R Appendix K.

### 1.2 ASSIGNMENT OF QUALITY ASSURANCE LEVELS

#### 1.2.1 ASSIGNMENT

Once a scientific investigation planning document, as specified in Paragraph 1.1.1 is developed, the Quality Assurance Levels for all of the items and activities which are associated with that work, are assigned. It may be necessary in some cases to assign Quality Assurance Levels to the items and activities within a plan that was prepared earlier. Therefore, the Quality Assurance Level assignments are not a part of the planning documents themselves, even though they would normally accompany those planning documents and go through the same review and approval process.

#### 1.2.2 CONFORMANCE

Scientific investigation planning documents are prepared and Quality Assurance Levels are assigned in accordance with the methods specified by the DOE Project Office.

### 1.3 REVIEW AND APPROVAL PROCESS

#### 1.3.1 RESPONSIBILITY

The LLNL-YMP conducts a technical review of the scientific investigation planning document. This review is performed by any qualified individual(s) other than those who developed the original planning document. In exceptional cases, the originator's immediate supervisor can perform the review if the supervisor is the only technically qualified individual, and if the need is individually documented and approved in advance with the concurrence of the LLNL-YMP QA Manager. The results of this technical review, and the resolution of any comments by the reviewer or reviewers, are documented, and become a part of the QA records.

#### 1.3.2 DOE PROJECT OFFICE REVIEW

The DOE Project Office Quality Assurance Manager and the appropriate DOE Project Office Branch Chief review and approve the scientific investigation planning document prior to implementation. The DOE Project Office Quality Assurance Manager returns the planning document to the LLNL-YMP upon completion of the DOE Project Office review and approval cycle. Study plans are also reviewed and approved by OCRWM prior to implementation.

No.:	Revision:	Date:	Page:
033-YMP-R 3	0	December 15, 1988	3 of 19

### 1.3.3 PEER REVIEW

A peer review of the scientific investigation planning document is conducted when deemed necessary by the DOE Project Office.

## 1.4 SCIENTIFIC INVESTIGATION DATA INTERPRETATION AND ANALYSIS

### 1.4.1 INTERPRETATION/ANALYSIS DOCUMENTS

Interpretation/analysis is performed in a planned, controlled, and documented manner. Interpretation/analysis are performed and documented in sufficient detail as to purpose, method, assumptions, input, references, and units such that a technically qualified person may review, understand, and verify the analysis without recourse to the originator. These documents are legible and in a form suitable for reproduction, filing, and retrieval. Calculations are identifiable by subject, originator, reviewer and date.

### 1.4.2 DOCUMENTATION OF INTERPRETATION/ANALYSIS

Documentation of interpretation/analysis includes the following:

- o Definition of the objective of the interpretation/analysis.
- o Definition of input and their sources.
- o A listing of applicable references.
- o Results of literature searches or other background data.
- o Identification of assumptions.
- o Identification of any computer calculation, including computer type, program name, revision, input, output, evidence of program verification, and the bases of application to the specific problem.
- o Signatures and dates of review and approval by appropriate personnel.

## 1.5 USE OF COMPUTER PROGRAMS

Computer programs that are used to support a license application are documented and controlled as specified in Paragraph 3.0 and 033-YMP-R Appendix H. The documentation and control measures are consistent with the guidance contained in NUREG-0856, "Final Technical Position on Documentation of Computer Codes for High-Level Waste Management."

## 1.6 THE USE OF SCIENTIFIC NOTEBOOKS VERSUS THE USE OF TECHNICAL IMPLEMENTING PROCEDURES

### 1.6.1 DOCUMENTATION

There are two methods which can be used for the quality assurance, documentation, and control of scientific work. These are the scientific notebook system and the technical implementing procedure system.

No.:	Revision:	Date:	Page:
033-YMP-R 3	0	December 15, 1988	4 of 19

The scientific notebook system is used by qualified individuals who are using a high degree of professional judgment, trial and error methods, or developing the methodology by which an activity will be accomplished. When the scientific notebook system is used, the study plan or scientific investigation planning document is the controlling document used to perform the activity since it describes the proposed approach or general procedure for accomplishing the work. Alternatively, the technical implementing procedure system is used when qualified personnel are performing repetitive work which does not include the use of a high-degree of professional judgment or trial and error methods in the performance of the work. Detailed technical implementing procedures are required when it is not possible to deviate from a prescribed sequence of actions, without endangering the validity of the results that will be obtained from the work. Modifications may be made to these procedures as detailed in Paragraph 1.6.2. Logbooks or appropriate forms or both are used, particularly in repetitive work, to document the performance of the work according to the technical implementing procedure, and to maintain absolute control over all other aspects of the work.

#### 1.6.2 TECHNICAL IMPLEMENTING PROCEDURES

Detailed technical implementing procedures together with appropriate logbooks and other supporting documents are used whenever the work is repetitive. Such technical implementing procedures are developed in accordance with the requirements given in 033-YMP-R 5 and reviewed in accordance with this section of the QAPP. Modifications may be made to the technical aspects of technical implementing procedures by the individual utilizing the procedure. If the change or modification is not within the scope of the study plan or scientific investigation plan, and the investigation is not repeatable, or the change could potentially impact the waste isolation capability of the site or interfere with other site characterization activities, approval is obtained from an appropriately qualified reviewer.

Requirements and acceptance or rejection criteria, including required levels of precision and accuracy, are provided or approved by the organization responsible for the scientific investigation, unless otherwise designated.

Technical procedures utilized for scientific investigations provide for the following as appropriate:

- o Requirements, objectives, methods and characteristics to be tested or observed.
- o Acceptance limits, if applicable, contained in applicable documents, including precision and accuracy.
- o Prerequisites such as calibrated instrumentation, adequate and appropriate equipment and instrumentation, suitable and controlled environmental conditions, and provisions for data collection and storage. For activities of long duration, specific provisions are established and documented for instrumentation whose calibration interval is shorter than the expected duration of the activity. Such provisions are to be designed to assure validity of data throughout the scientific investigation.

- o Mandatory verification points.
- o Acceptance and rejection criteria, including required levels of precision and accuracy (NOTE: "Accept/reject criteria" means those features or characteristics of a procedure that make it possible to determine whether the work has been, or is being, performed in such a way that it produces the intended results. A data acquisition task produces output that, in itself, cannot be characterized as acceptable or unacceptable. However, the task of acquiring the data is acceptable if all specified prerequisites were met and the work was accomplished in the specified manner. In that instance, the "accept/reject criteria" are simply the conditions and methods stated in the procedure.)
- o Methods of documenting or recording data and results, including precision and accuracy.
- o Methods of data reduction.
- o Provision for assuring that prerequisites have been met.
- o Special training or qualification requirements for personnel performing the scientific investigation.
- o Personnel responsibilities.

#### 1.6.2.1

Procedures are complete to the extent that another qualified individual may, at a later date, reproduce the results.

#### 1.6.2.2

The potential sources of uncertainty and error in technical implementation procedures which must be controlled and measured to assure that scientific investigations are well controlled and identified. Parameters that need to be measured and/or controlled to minimize such uncertainties or error, and to assure adequate control, are addressed explicitly in test procedures.

#### 1.6.2.3

For instrumentation and/or equipment used in data collection consideration is given to whether failure or malfunction of the instrumentation during scientific investigation will be detectable, either during data collection or by examination of the data. Where ability to detect such failure or malfunction is questionable, procedures include any special provisions for equipment/instrumentation configuration, installation, and use that can further reduce risk of undetectable failure or malfunction.

#### 1.6.2.4

Any procedural deviations or nonconformances, encountered during activities are documented, reported, and evaluated for significance.

No.: 033-YMP-R 3	Revision: 0	Date: December 15, 1988	Page: 6 of 19
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### ..6.3 SCIENTIFIC NOTEBOOKS

Scientific notebooks along with other appropriate documents may be used to document scientific investigations and experiments. In such cases, this documentation is sufficient such that another qualified scientist can use the notebook to retrace the investigation and confirm the results, or repeat the experiment and achieve the same results without recourse to the PI.

### 1.6.4 FORMAT FOR DOCUMENTATION

Documentation of scientific work (i.e., experiments and research) is performed using bound logbooks or notebooks to provide written record of the experiment or research.

#### 1.6.4.1 Initial Entries

Where appropriate, and prior to initiation of the experiment or research, the following entries, as a minimum, are made.

- o Title of the experiment or research.
- o Name of the qualified individual or individuals performing the experiment or research.
- o Description of the experiment's objective or objectives and the proposed approach or procedure for achieving these objectives. This may be accomplished by reference to the appropriate study plan or other scientific investigation planning document which controls the work.
- o Equipment and materials to be employed during the experiment or research, including any necessary design or fabrication of experimental equipment and any needed characterization of starting material.
- o Calibration requirements.
- o Dated signature of the individual or individuals making the initial entries.
- o Special training or qualification requirements.
- o Documentation of suitable and controlled environmental conditions, if applicable.
- o Required levels of precision and accuracy are identified.
- o The potential sources of uncertainty and error in scientific investigations which must be controlled and measured to assure the investigations are appropriately controlled are identified.

The initial entries described above are considered to be a "general" procedure and are entered into the scientific notebook prior to beginning an investigation. Modifications may be made by the individual performing the investigation. If the change or modification is not within the scope of the

study plan or scientific investigation plan, and the investigation is not repeatable, or the change could potentially impact the waste isolation capability of the site, or interfere with other site characterization activities, approval is obtained from an appropriately qualified reviewer.

#### 1.6.4.2 In-process Entries

Entries made during the experiment or research, daily or as appropriate, are sufficiently detailed so that another competent experimenter/researcher could repeat the experiment or research, and include:

- o Date and name of individual making the entry.
- o Provisions for assuring prerequisites have been met.
- o Description of the experiment or research attempted, including detailed step-by-step process followed; either by reference to implementing procedure or by actual entry into the notebook.
- o Description of any conditions which may adversely affect the results of the experiment or research.
- o Identification of samples used and any additional equipment and materials not included as part of the initial entries prescribed by Paragraph 1.6.4.1.
- o All data taken and a brief description of the results, to include notation of any unaccepted results.
- o Any deviations from the planned experiment or research.
- o Any interim conclusions reached, as appropriate.

#### 1.6.4.3 Final Entries

The final entries in the record have, as a minimum, the signature of the experimenter and the signature of a competent technical reviewer.

#### 1.6.4.4 Final Results

Final results and a summary of the outcome of the experiment or research are documented (e.g., in a technical report). This includes a discussion of whether the experiment's objectives as outlined in the initial entries (Paragraph 1.6.4.1) were achieved. This documentation becomes part of the QA records of the activity.

### 1.7 CHANGE CONTROL

All changes in scientific investigation planning documents go through the same review and approval process as specified in Paragraph 1.3. The LLNL-YMP is responsible for evaluating the impacts of such changes on the associated quality Assurance level assignments.



No.:	Revision:	Date:	Page:
033-YMP-R 3	0	December 15, 1988	8 of 19

## 1.8 INTERFACE CONTROL

### 1.8.1 COORDINATION

Internal and external scientific investigation interfaces are identified and scientific investigation efforts are coordinated within the LLNL-YMP and between the LLNL-YMP and other High-level Nuclear Waste Program participating organizations. Interface controls include the assignment of responsibility and the establishment of procedures for the review, approval, release, distribution and revision of documents involving scientific investigation interfaces. Interfaces within the LLNL-YMP are coordinated according to procedures. Interfaces between scientific investigations, or between a scientific investigation and any other Project activity including design activities, are coordinated among participating organizations in accordance with DOE Project Office procedures. Interfaces between the LLNL-YMP and its suppliers are controlled in accordance with procedures. Ongoing field or laboratory scientific investigations are identified to preclude inadvertent interruption and to assure operational compatibility. Such identification is clearly evident at the location at which the scientific investigation is being performed. Field investigations identify the location of the investigation.

### 1.8.2 TRANSMITTAL

The method of transmittal of information or items, including samples of natural or man-made materials, across interfaces are documented.

## 1.9 VERIFICATION OF SCIENTIFIC INVESTIGATIONS

### 1.9.1 VERIFICATION PLANNING

Planning for verification activities is accomplished and documented via verification procedures, instructions, or checklists. Verification procedures, instructions, or checklists provide for the following:

- o Identification of characteristics and activities to be verified.
- o A description of the method of verification.
- o Identification of the individuals or groups responsible for performing the verification.
- o Acceptance and rejection criteria.
- o Identification of required procedures, drawings, and specifications (including revisions).
- o Recording identification of the verifier and the results of the verification.

### 1.9.2 VERIFICATION HOLD POINTS

Mandatory verification hold-points are established as necessary. When such hold points are established, work may not proceed without the specific consent of the responsible representative. These hold points are indicated in appropriate documents controlling the activity. Consent to waive any specified hold point is documented before work can be continued beyond the designated hold point.

### 1.9.3 REPORTING INDEPENDENCE OF PERSONNEL

Verification is performed by personnel who do not report directly to the immediate supervisor(s) who is/are responsible for performing the activity being verified. If these personnel are not part of the formal QA organization, they have sufficient authority, access to work areas, and organizational freedom to (1) identify quality problems; (2) initiate, recommend, or provide solutions to quality problems through designated channels; (3) verify implementation of solutions; and (4) assure that further processing, delivery, installation or use is controlled until proper disposition of a nonconformance, deficiency or unsatisfactory condition has occurred. When these persons or organizations who perform the verification activities are not part of the formal QA organization (i.e., part of line management), then the quality assurance organization overviews and monitors the verification activity.

## 1.10 SURVEILLANCE OF SCIENTIFIC INVESTIGATIONS AND EXPERIMENTS

### 1.10.1 LOGISTICS OF SURVEILLANCE

The LLNL-YMP QA organization performs surveillances of all scientific investigations, as may be deemed appropriate for the purposes and the complexity of the work. The QA surveillance team for a scientific investigation consists of one or more qualified technical individuals and one or more QA personnel. The timing and the number of surveillances are determined by the QA surveillance team that is formed for this work. Surveillances are performed in accordance with the requirements specified in 033-YMP-R 18.

### 1.10.2 SURVEILLANCE TEAM

The technical member or members of the QA surveillance team are familiar with the plan for the scientific investigation.

### 1.11 REPORTS, CONCLUSIONS, AND RECOMMENDATIONS

The LLNL-YMP is charged with developing implementing procedures for the technical review and approval of the results of scientific investigations. These procedures include the DOE Project Office in the review and approval cycle of the final report.

No.:	Revision:	Date:	Page:
033-YMP-R 3	0	December 15, 1988	10 of 19

## 1.12 CLOSE-OUT VERIFICATION

The LLNL-YMP performs a close-out verification upon the completion of any scientific investigation to assure that the QA records for that investigation are adequate and complete. This is done because of the considerable period of time between the completion of work and use of the resulting information in the licensing process. Close-out verifications are performed by a team consisting of qualified technical personnel as well as QA personnel.

## 2.0 DESIGN CONTROL

### 2.1 GENERAL

#### 2.1.1 DEFINITION

The design is defined, controlled, and verified. The term design refers to specifications, drawings, design criteria, and component performance requirements for the natural and engineered components of the repository system. Design information and design activities refer to data collection and analyses activities that are used in supporting design development and verification. This includes general plans and detailed implementing procedures for data collection and analyses and related information such as test results and analysis. The data collection activities result from scientific investigations and produce design input. Data analysis includes the initial step of data reduction as well as broad level systems analyses (such as performance assessments) which integrate many other data and analyses of individual parameters.

It is the policy of the Yucca Mountain Project that a completed or final design of a facility or item evolves from a sequential order of design activities (or phases) wherein each phase becomes more detailed in nature than the preceding phase. It is recognized that the number and length of design phases required to produce a completed or final design of any particular item or facility varies, according to the timeliness and availability of pertinent information and the complexity of the item or facility. It is also recognized that YMP design activities progress at different rates and are dependent on and require interfaces with other Project participating organizations to produce a unified facility design.

#### 2.1.2 QUALITY ASSURANCE LEVEL ASSIGNMENT

All design phases are assigned a Quality Assurance Level prior to execution in accordance with the methods specified by the DOE Project Office.

#### 2.1.3 QUALIFICATION OF PERSONNEL

Personnel performing design work are indoctrinated, trained, and qualified in accordance with the requirements of 033-YMP-R 2. Instructions, procedures and drawings for design work are in accordance with the requirements of 033-YMP-R 5.

#### 2.1.4 PEER REVIEW

A peer review is conducted for design activities, including design output documents which involve use of untried or state-of-the-art testing and analysis procedures and methods, or where detailed technical criteria and requirements do not exist or are being developed. The peer review meets the requirements of Paragraph 4.0.

### 2.2 DESIGN INPUT

#### 2.2.1 IDENTIFICATION, REVIEW AND APPROVAL OF INPUT

Applicable design input, such as site characterization data, criteria letters, design bases, performance and regulatory requirements, codes, standards, manufacturer's design data, and quality standards, are identified, documented, and their selection reviewed and approved by the responsible design organization and the responsible QA organization. The purpose of the QA review is to assure that the documents are prepared, reviewed, and approved in accordance with documented procedures and quality assurance requirements. The design input is specified and approved on a timely basis and to the level of detail necessary to permit the design activity to be carried out in a correct manner and to provide a consistent basis for making design decisions, accomplishing design verification measures, and evaluating design changes.

#### 2.2.2 CHANGES TO DESIGN INPUT

Changes to approved design input, including the reason for the changes, are identified, documented, approved, and controlled by the responsible design organization.

#### 2.2.3 CONSIDERATIONS FOR DESIGN INPUT

Considerations for design inputs as they apply to specific items or systems are contained in Appendix B of this document.

### 2.3 DESIGN ANALYSIS

#### 2.3.1 DESIGN ANALYSIS DOCUMENTS

Design analyses are performed in a planned, controlled, and documented manner. Design analysis is performed and documented in sufficient detail as to purpose, method, assumptions, design input, references, and units such that a technically qualified person may review, understand, and verify the analysis without recourse to the originator. These documents are legible and in a form suitable for reproduction, filing, and retrieval. Calculations are identifiable by subject (including structure, system, or component) originator, reviewer, and date.

#### 2.3.2 DOCUMENTATION OF DESIGN ANALYSES

Documentation of design analysis includes the following:

- o Definition of the objective of the analysis.

No.:	Revision:	Date:	Page:
033-YMP-R 3	0	December 15, 1988	12 of 19

- o Definition of design input and their sources.
- o A listing of applicable references.
- o Results of literature searches or other background data.
- o Identification of assumptions and indication of those which require verification as the design proceeds.
- o Identification of any computer calculation, including computer type, program name, revision, input, output, evidence of program verification, and the bases of application to the specific problem.
- o Signatures and dates of review and approval by appropriate personnel including QA Personnel. The purpose of the QA review is to assure that the documentation is prepared, reviewed and approved in accordance with documented procedures and quality assurance requirements.

### 2.3.3 USE OF COMPUTER PROGRAMS

Computer programs that are used to support a license application are documented and controlled as specified in Paragraph 3.0 and Appendix H of this QAPP.

## 2.4 DESIGN VERIFICATION

### 2.4.1 IDENTIFICATION AND DOCUMENTATION

Design control measures are applied to verify the adequacy of design and verification is performed in a timely manner. The responsible design organization identifies and documents the verification method used, the results of the verification, and the verifier.

### 2.4.2 TIMING OF VERIFICATION

Verification of the adequacy of design are performed prior to release for procurement, manufacture, construction, or release to another organization for use in other design activities. In those cases, where this timing can not be met, the portion or portions of design which have not been verified are identified and controlled. In all cases, the verification is completed prior to relying on the component, system, or structure to perform its function.

### 2.4.3 EXTENT OF VERIFICATION

The extent of the design verification required is a function of the importance to safety of the item under consideration, the complexity of the design, the degree of standardization, the state of the art, and the similarity with previously proven designs.

Where the design has been subjected to a verification process in accordance with Paragraph 2.4, the verification process need not be duplicated for identical designs. However, the applicability of standardized or previously proven designs, with respect to meeting pertinent design inputs, is verified for each application. Known problems affecting the standardized or previously

proven designs and their effects on other features are considered. The original design and associated verification measures are adequately documented and referenced in the files of subsequent application of the design.

#### 2.4.4 CHANGES TO VERIFIED DESIGNS

Changes to previously verified designs require verification including evaluation of the effects of those changes on the overall design.

#### 2.4.5 PERSONNEL PERFORMING VERIFICATION

Design verification is performed in accordance with the requirements of Paragraph 2.4.6 by any competent, certified individual or individuals or certified group or groups other than those who performed the original design. This includes the following:

##### 2.4.5.1

Individuals or groups from the originator's same organization.

##### 2.4.5.2

Individuals or groups from other organizations contracted for this purpose.

##### 2.4.5.3

The originator's supervisor providing all of the following requirements are met:

- o The supervisor is the only individual in the organization competent to perform verification.
- o The supervisor did not establish the design input used, specify a singular design approach, or rule out certain design considerations.
- o The rationale for satisfying the two requirements above is documented and approved by management superior to the supervisor. The QA manager concurs with this rationale.

#### 2.4.6 METHODS OF DESIGN VERIFICATION

Design verification is accomplished by any one or a combination of the following: design reviews, alternate calculations, qualification testing, or peer review.

##### 2.4.6.1 Design Reviews

Design reviews are detailed critical reviews to provide assurance that the design is correct and satisfactory. At a minimum, the items below are considered during the review and the results of such deliberations are documented.

- o Were the design inputs correctly selected?
- o Are assumptions necessary to perform the design activity adequately described and reasonable? Where necessary, are the assumptions identified for subsequent reverifications when the detailed design activities are completed?
- o Was an appropriate design method used?
- o Were the design inputs correctly incorporated into the design?
- o Is the design output reasonable compared to design inputs?
- o Are the necessary design input and verification requirements for interfacing organizations specified in the design documents or in supporting procedures or instructions?
- o Are computer programs used for analysis identified and verified in accordance with the methods specified in Paragraph 3.0 of this section?

#### 2.4.6.2 Alternate Calculations

Alternate calculations are a form of analysis which is used to determine the adequacy of the original analysis. The use of alternate calculations includes a review of the appropriateness of assumptions, inputs and computer programs or other calculation method used.

#### 2.4.6.3 Qualification Tests

Qualification tests that involve actual physical testing of systems, structures, or components are used to verify the adequacy of design. Where design adequacy is to be verified by qualification tests, the tests are identified. The test configuration is clearly defined and documented. Testing demonstrates adequacy of performance under conditions that simulate the most adverse design conditions. Operating modes and environmental conditions in which the item must perform satisfactorily are considered in determining the most adverse conditions. Where the test is intended to verify only specific design features, the other features of the design are verified by other means. Test results are documented and evaluated by the responsible design organization to assure that test requirements have been met. If qualification testing indicates that modifications to the item are necessary to obtain acceptable performance, the modification is documented and the item modified and retested or otherwise verified to assure satisfactory performance. When tests are performed on models or mockups, scaling laws are established and verified. The results of model test work are subject to error analysis, where applicable, prior to use in the final design work.

#### 2.4.6.4 Peer Review

Peer review is an acceptable method of design verification when the design is beyond state-of-the-art and other methods of design verification are not feasible.

No.: 033-YMP-R 3	Revision: 0	Date: December 15, 1988	Page: 15 of 19
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## 2.5 DESIGN CHANGE CONTROL

### 2.5.1 CHANGES TO APPROVED DESIGNS

Changes to approved designs, including field changes, are justified and subjected to design control measures commensurate with those applied to the original design and approved by the same affected groups or organizations which reviewed and approved the original design documents; except where an organization which originally was responsible for approving a particular design document is no longer responsible, then the DOE Project Office designates a new responsible organization. The designated organization has demonstrated competence in the specific design area of interest and has an adequate understanding of the requirements and intent of the original design. Errors and deficiencies in approved design and design information documents are documented, and action taken to assure that all errors and deficiencies are corrected. Where a significant design change is necessary because of an incorrect design, the design process and verification procedure are reviewed and modified as necessary.

## 2.6 DESIGN INTERFACE CONTROL

### 2.6.1 IDENTIFICATION AND RESPONSIBILITY

Internal and external design interfaces are identified and controlled and design efforts are coordinated among and within responsible design organizations. Interface controls include the assignment of responsibility and the establishment of procedures among and within responsible design organizations for the review, approval, release, distribution, and revision of documents involving design interfaces.

### 2.6.2 INFORMATION TRANSMITTED ACROSS INTERFACES

Design information transmitted across interfaces is documented and controlled. Transmittals identify the status of the design information or the documents provided and, where necessary, identify incomplete items which require further evaluation, review, or approval. Where it is necessary to initially transmit design information orally or by other informal means, the transmittal is confirmed promptly by a controlled document.

## 2.7 DESIGN OUTPUT REQUIREMENTS

### 2.7.1 DESIGN OUTPUT DOCUMENTS

Design output documents:

#### 2.7.1.1

Relate to the design input by documentation in sufficient detail to permit design verification.

#### 2.7.1.2

Identify assemblies or components or both that are part of the item being designed. When such an assembly or component part is a commercial grade item that, prior to its installation, is modified or selected by special



inspection or testing or both, to requirements that are more restrictive than the Supplier's published product description, the component part is represented as different from the commercial grade item in a manner traceable to a documented definition of the difference.

### 2.7.1.3

Show evidence that the required review and approval cycle has been achieved prior to release for procurement, construction, or release to another organization for use in other design activities. As a minimum, the review and approval cycle includes the participation of the technical and QA elements of both the responsible design organization and the DOE Project Office. The purpose of the QA review is to assure that the documents are prepared, reviewed and approved in accordance with documented procedures and quality assurance requirements.

## 2.8 DESIGN DOCUMENTS AS QA RECORDS

Design documentation, including design inputs, analyses, drawings, specifications, approved changes thereto, evidence of design verification and records confirming interface control are collected, controlled, stored, and maintained as QA records in accordance with procedures which meet the requirements of 033-YMP-R 17.

## 3.0 SOFTWARE QUALITY ASSURANCE REQUIREMENTS

### 3.1 COMPUTER SOFTWARE DOCUMENTATION AND CONTROL

For a geologic repository, computer software used to perform analysis in support of the license application is controlled to the same level of requirements as software used to perform direct design analysis. Auxiliary software used to support primary analysis software is controlled at a level commensurate with the complexity of that software.

Where commercial auxiliary software is used, all available documentation from the software supplier is obtained. It is recognized that source code is generally not available and controls are limited to unique version identification and user-related manuals.

Supplemental, detailed requirements for the development, maintenance, and security of computer software based on the lifecycle model are contained in Appendix H to this QAPP.

#### 3.1.1

The LLNL-YMP prepares a description of its software design, test and configuration management system and submit it to the next higher program organizational level for review and approval. The description:

- o Provides criteria for application of the requirements of this section based on the complexity and importance of the software used to perform analysis in support of the design of a geologic repository.

No.: 033-YMP-R 3	Revision: 0	Date: December 15, 1988	Page: 17 of 19
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- o Indicates the methods to be used to develop computer program requirements, to translate those requirements into a detailed design, and to implement that design in executable code.
- o Relates the types of documentation to be prepared, reviewed, and maintained during software design, code implementation, test, and use.
- o Identifies the methodology for establishing software baselines and baseline updates (changes) and for tracking changes throughout the life of the software.
- o Specifies the process to be used for verification and validation of the software developed or applied to geologic repository design analysis.
- o Identifies the procedure for reporting and documenting software discrepancies, including sources, evaluating impacts of discrepancies on previous calculations, and determining appropriate corrective action.

### 3.1.2

Software is placed under configuration management as each baseline element is approved. Software baseline elements are uniquely identified to assure positive control of all revisions; the identification of each code version is directly related to the associated documentation.

### 3.1.3

Changes to software are systematically evaluated, coordinated, and approved to assure that the impact of a change is carefully assessed prior to updating the baseline, required action is documented, and the information concerning approved changes is transmitted to all affected organizations. Changes to computer software are subject to the same level of approval, verification, and validation as the original software.

### 3.1.4

Computer programs developed and/or modified are documented in accordance with the applicable elements of NUREG-0856, Final Technical Position on Documentation of Computer Codes for High-Level Waste Management. This requirement may be met in part by existing documentation if properly referenced and related to the NUREG-0856 requirements.

### 3.1.5

Testing of software, including new or modified software, is performed for those inputs and conditions necessary to exercise the software, identify boundary conditions and to provide a suitable benchmark or sample problem for installation. The goal of testing is to develop a set of test cases that have highest probability of detecting the most errors in order to identify under what conditions the software does not perform properly.

### 3.1.6

Verification and validation of computer software are performed prior to the use of such software to perform technical calculations in support of site-characterization, performance assessment analyses, and the design analysis, and operation of repository structures, systems, and components. In those cases where this requirement cannot be met, the portion or portions of software which have not been verified and validated are identified and controlled. In all cases, the verification and validation of software is completed prior to relying on the software to support the license application.

### 3.1.7

Verification and validation procedures assure that the software adequately and correctly performs all intended functions and that the software does not perform any unintended function that either by itself or in combination with other functions can degrade the entire system.

### 3.1.8

Existing software is qualified for use. This qualification is based on the ability of the software to provide acceptable results for specific applications and compliance with the requirements of this section. Software that has not been developed in accordance with this QAPP may be qualified for use provided the software is verified and validated, a software baseline established, and applicable documentation prepared to support the software in accordance with the provisions of this section.

### 3.1.9

Methods for determining the applicability of requirements and managing interfaces involving the documentation, configuration management, change, qualification, verification, and validation of software, are described in each organization's software QA Plan and procedures.

## 3.2 DOCUMENTATION OF COMPUTER SOFTWARE

Documentation of scientific and engineering software includes the following, as a minimum:

- o Software requirements specification;
- o Software design and change documentation;
- o Description of mathematical models and numerical methods;
- o Software verification and validation documentation;
- o User documentation;
- o Code assessment and support;

No.:	Revision:	Date:	Page:
033-YMP-R 3	0	December 15, 1988	19 of 19

- o Continuing documentation and code listings; and
- o Software summary.

This documentation is considered to be a QA Record and is subject to the requirements of 033-YMP-R 17. Appendix H to this QAPP provides detailed requirements for documentation of software used on the project.

### 3.3 SOFTWARE CONFIGURATION MANAGEMENT

An appropriate software configuration management program is instituted. Documentation of this program is provided to the Records Management System (RMS). The minimum requirements for this configuration management program are: (1) the inclusion of a unique identification, including software version numbers whenever feasible, in the output; (2) listings of the software; and (3) a brief chronology of the software versions, including descriptions of the changes made between versions.

### 4.0 PEER REVIEWS

A peer review process is instituted, when applicable, to provide adequate confidence in work being reviewed. Peer reviews meet the requirements of 'REG-1297 "Peer Review for High-Level Nuclear Waste Repositories." These requirements are contained in 033-YMP-R Appendix J.

### 5.0 TECHNICAL REVIEWS

When technical reviews are required they are conducted in accordance with procedures that contain specific criteria for the performance of the technical review.



CHANGE NOTICE

CN No.: R 4-0-1

Affected Document: 033-YMP-R 4, "Procurement Document Control" Rev.0

Prepared by: Raymond E. Hamati

Approved by: N/A  
(Technical Area Leader) (Date)

Approved by: RKDamm 2-12-91  
(YMP QA Manager) (Date)

Training Required:  
Yes  No

Approved by: P. J. Jarecki 2/12/91  
(YMP Project Leader) (Date)

Currently Read as Follows:

1. Section 1.1, Last sentence: "To the extent . . . specified Quality Assurance Level."
2. Section 2.0, title: "ADDITIONAL REQUIREMENTS FOR QA LEVEL I ACTIVITIES"
3. Section 2.1.3.1, Second sentence: "Quality Assurance . . . for Quality Assurance Level I . . ."
4. Section 2.4, First sentence: "The LLNL-YMP . . . Quality Assurance Level I items and services."

**CHANGED TO READ:**

1. Section 1.1, Last sentence: "To the extent . . . specified Quality Assurance controls."
2. Section 2.0, title: "ADDITIONAL REQUIREMENTS FOR QUALITY AFFECTING PROCUREMENTS"
3. Section 2.1.3.1, Second sentence: "Quality Assurance . . . for quality affecting . . ."
4. Section 2.4, First sentence: "The LLNL-YMP . . . quality affecting items or services."

**NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT**

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

No.: 033-YMP-R 4

Revision: 0

Date: December 15, 1988

Page: 1 of 3

Subject:

PROCUREMENT DOCUMENT CONTROL

Approved:

FEB 10 1989

Approved by:

  
Date

Yucca Mountain Project Leader

Approved by:

  
Date

Quality Assurance Manager

## 1.0 REQUIREMENTS

### 1.1 MEASURES TO ASSURE ADEQUATE QUALITY

Measures are established to assure that applicable regulatory requirements, design or site investigation bases, and other requirements that are necessary to assure adequate quality are suitably included or referenced in the documents for procurement of material, equipment, and services utilized for the LLNL-YMP. To the extent necessary, procurement documents require sub-tier contractors to provide a Quality Assurance (QA) program that is consistent with the pertinent provisions of the LLNL-YMP QAPP as required for the specified Quality Assurance Level.

## 2.0 ADDITIONAL REQUIREMENTS FOR QA LEVEL I ACTIVITIES

### 2.1 CONTENT OF PROCUREMENT DOCUMENTS

Procurement documents issued at all tiers of procurement include provisions for the items listed below, as deemed necessary by the LLNL-YMP:

#### 2.1.1 SCOPE OF WORK

A statement of the scope of the work to be performed by the supplier is included in the procurement documents.

#### 2.1.2 TECHNICAL REQUIREMENTS

Technical requirements are specified in the procurement documents. Where necessary, these requirements are specified by reference to specific drawings, specifications, codes, standards, regulations, procedures, or instructions, including revisions thereto that describe the items or services to be furnished. The procurement documents provide for identification of test, inspection, and acceptance requirements of the LLNL-YMP for monitoring and evaluating the supplier's performance.

### ..1.3 QA REQUIREMENTS

#### 2.1.3.1

Procurement documents require that the supplier have a documented QA program that implements either portions or all of the requirements of this document. Quality Assurance Program Plans (QAPPs) and documents of subcontractors for Quality Assurance Level I purchases are reviewed and approved by the LLNL-YMP. Those which do not adequately define QA requirements, as judged by the QA representative of the LLNL-YMP, are corrected prior to initiation of activities specified by the purchase order or contract. The extent of the program required depends upon the type and use of the item or service being procured. The procurement documents require the supplier to incorporate appropriate QA program requirements in subtier procurement documents.

#### 2.1.3.2

In developing QA requirements for test and other equipment, consideration is given to whether proper performance of that equipment can be determined during or after its use (i.e., whether failure or malfunction of the equipment can be detected).

#### 2.1.4 RIGHTS OF ACCESS

At each tier of procurement, the procurement documents provide for access to the suppliers' facilities and records for inspection or audit by the LLNL-YMP, appropriate DOE Project Office personnel, or other DOE Project Office authorized representatives. DOE Project Office access to subtier contractor facilities is arranged through the LLNL-YMP.

#### 2.1.5 DOCUMENTATION REQUIREMENTS

The procurement documents at all tiers identify the documentation required to be submitted to the LLNL-YMP. The time of submittal is established. If the LLNL-YMP require the supplier to maintain specific QA records, then the retention times and disposition requirements are specified in accordance with 033-YMP-R 17.

#### 2.1.6 NONCONFORMANCE

The procurement documents prescribe the LLNL-YMP's requirements for reporting and approving disposition of nonconformances.

#### 2.1.7 SPARE AND REPLACEMENT PARTS

The procurement documents require the identification of appropriate spare and replacement parts or assemblies and the appropriate delineation of the technical and quality related data that are required for ordering these parts or assemblies. The technical and quality requirements are equal to or better than the original. If QA or technical requirements of the original item cannot be determined, then an engineering evaluation is conducted by qualified individuals to establish the requirements. The evaluation considers the interchangeability, function and safety of the item. The evaluation is documented.

## 2.2 PROCUREMENT DOCUMENT REVIEW

A review of the procurement documents and changes thereto are made to assure that documents transmitted to the prospective supplier or suppliers include appropriate provisions to assure that items or services meet the specified requirements. The review is performed and documented prior to contract award. Procurement document reviews are performed by personnel who have access to pertinent information and who have adequate understanding of the requirements and intent of the procurement documents. The review includes as a minimum, the cognizant technical organization and QA organization. The review by the QA organization assures that the following requirements are met:

- o QA requirements are correctly stated, inspectable, and controllable.
- o There are adequate acceptance and rejection criteria.
- o Procurement documents are prepared, reviewed, and approved in accordance with the QA requirements.

## 2.3 PROCUREMENT DOCUMENT CHANGES

Procurement document changes are subject to the same degree of control as utilized in the preparation of the original documents. Changes that are made as a result of the bid evaluation or precontract negotiations are incorporated into the procurement documents. The review of such changes and their effects are completed and documented prior to contract award. Review of changes include the following considerations:

- o Appropriate content is included in procurement documents as required by Paragraph 2.1.
- o Additional or modified design or site investigation criteria is determined.
- o Analysis of exceptions or changes requested or specified by the supplier and determination of the effects such changes may have on the intent of the procurement documents or quality of the item or service to be furnished.

## 2.4 DISTRIBUTION OF PROCUREMENT DOCUMENTS

The LLNL-YMP forwards to the DOE Project Office Quality Assurance Manager a copy of purchase documents, and changes thereto, as issued, when purchases involve Quality Assurance Level I items or services. Only those purchase documents which identify the vendor, describe the scope of work, and detail when work is to start are submitted to the DOE Project Office Quality Assurance Manager.



CHANGE NOTICE

CN No.: R 5-0-1

Affected Document: 033-YMP-R 5, "Instructions, Procedures and Drawings" Rev.0

Prepared by: Raymond E. Hamati

Approved by: N/A  
(Technical Area Leader) (Date)

Approved by: *R. Hamati* 2-8-91  
(YMP QA Manager) (Date)

Training Required:  
Yes  No

Approved by: *E. J. Jardine* 2/19/91  
(YMP Project Leader) (Date)

Currently Read as Follows:

- 1. Section 4.0, "The LLNL-YMP . . . . used for QA Level I and II activities."

**CHANGED TO READ:**

- 1. Section 4.0, "The LLNL-YMP . . . . used for quality affecting activities."

**NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT**

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

No.: 033-YMP-R 5  
Revision: 0  
Date: December 15, 1988  
Page: 1 of 1

Subject:

INSTRUCTIONS, PROCEDURES, PLANS AND DRAWINGS

Approved: FEB 10 1989

Approved by: *R. S. Sallan* 12/20/88 Date  
Yucca Mountain Project Leader

Approved by: *R. L. E. Schmitt* 12/15/88 Date  
Quality Assurance Manager

### 1.0 GENERAL

Activities affecting quality are prescribed by and performed in accordance with documented instructions, procedures, or drawings, of a type appropriate to the circumstances except as noted in Paragraph 3.0. These documents include or reference appropriate quantitative or qualitative acceptance criteria for determining that prescribed activities are satisfactorily accomplished. Instructions and procedures include a section which identifies the QA records which are generated during implementation of the document. If plans are used in lieu of procedures, then these plans include or reference appropriate acceptance criteria and identify the QA records which are generated. These documents, including drawings, are controlled as required in 033-YMP-R 6.

### 2.0 REVIEWS

Independent reviews of all instructions, procedures, plans and drawings are performed by the LLNL-YMP to assure technical adequacy and inclusion of appropriate quality requirements. If applicable, this review shall consider whether or not the activities are repeatable, have the potential to impact the waste isolation capability of the site or interfere with other site characterization activities.

### 3.0 INSTRUCTIONS FOR SCIENTIFIC NOTEBOOKS

Instructions are developed by the LLNL-YMP for the control of scientific notebooks, plans and the other documentation used in scientific investigations. (See 033-YMP-R 3.) When scientific notebooks are used to document scientific investigations, the requirements of 033-YMP-R 3, paragraph 1.6 shall prevail over the requirements of this Section. Scientific notebooks are collected, controlled, stored, and maintained as QA records in accordance with procedures which meet the requirements of 033-YMP-R 17.

### 4.0 DISTRIBUTION

The LLNL-YMP provides the DOE Project Office Quality Assurance Manager with controlled distribution of all implementing procedures, plans and instructions used for QA Level I and II activities.

NUCLEAR WASTE MANAGEMENT PROGRAM

CONTROLLED COPY NO. 0100

No.: 033-YMP-R 6

Revision: 0

Date: December 15, 1988

Page: 1 of 2

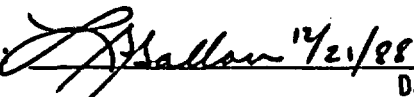
Subject:

DOCUMENT CONTROL

Approved:

FEB 10 1989

Approved by:



Date

Yucca Mountain Project Leader

Approved by:



Date

Quality Assurance Manager

## 1.0 DOCUMENT PREPARATION, REVIEW, APPROVAL, AND ISSUANCE

### 1.1 METHODS

The preparation, review, approval, and issuance of documents such as instructions, procedures, plans and drawings, including changes thereto, are controlled through the implementation of methods that assure that only correct documents are used. Document control is applied to the following:

- o Documents containing or specifying quality requirements.
- o Documents that prescribe activities affecting quality.

The document control system is documented, and the QA organization provides the appropriate review, resolution of comments, and concurrence with respect to quality-related aspects of the documents.

### 1.2 IMPLEMENTATION

Implementation of document control provides for the following:

- o Identification of documents to be controlled.
- o Identification of assignment of responsibility for preparing, reviewing, approving, and issuing documents.
- o Review of documents for technical adequacy, completeness, correctness, and inclusion of appropriate quality requirements, prior to approval and issuance.

- o A method for the removal or marking of obsolete or superseded documents to prevent inadvertent use.
- o A method for assuring that the correct and applicable documents are available at the location where they are to be used.
- o A master list or equivalent to identify the correct and updated revisions of documents.
- o Coordination of interface documents.

## 2.0 DOCUMENT CHANGES

### 2.1 MAJOR CHANGES

Changes to documents, other than those defined below as minor changes are considered as major changes and are reviewed and approved by the same organizations that performed the original review and approval, unless other organizations are specifically designated by the organization responsible for the document. The reviewing organization has access to pertinent background data or information upon which to base their approval and, if applicable, specifically considers whether or not activities being changed are repeatable, have the potential to impact the waste isolation capability of the site or interfere with other site characterization activities.

### 2.2 MINOR CHANGES

Minor changes to documents, such as inconsequential editorial corrections, do not require that the reviewed documents receive the same review and approval as the original documents. To avoid a possible omission of a required review, the type of minor changes that do not require such a review and approval and the persons who can authorize such a decision are clearly delineated.

## 3.0 DISTRIBUTION OF DOCUMENTS

### 3.1 DOCUMENT CONTROL SYSTEM

The document control system assures that documents requiring verification are not released prior to verification or, if they must be released before verification, they are uniquely identified as such and controlled in accordance with Paragraph 1.2. A master list or equivalent used to identify the correct, current and updated versions of documents are submitted to the DOE Project Office Quality Assurance Manager.

## NUCLEAR WASTE MANAGEMENT PROGRAM

CONTROLLED COPY NO. 0100

No.: 033-YMP-R 7

Revision: 0

Date: December 15, 1988

Page: 1 of 8

Subject:

CONTROL OF PURCHASED ITEMS AND SERVICES

Approved:

FEB 10 1989

Approved by: R. Sallan <sup>12/20/88</sup>  
Date  
Yucca Mountain Project Leader

Approved by: R. E. Smith <sup>12/15/88</sup>  
Date  
Quality Assurance Manager

## 1.0 GENERAL REQUIREMENTS

Measures are established to assure that purchased material, equipment, and services conform to the procurement documents. These measures include provisions, as appropriate, for source evaluation and selection, objective evidence of quality furnished by the contractor or subcontractor, inspection at the contractor or subcontractor source, audit, and examination of products upon delivery. Where required by code, regulation, or contract requirement, documentary evidence that material and equipment conform to the procurement requirements is available at the location where the material or equipment is to be used prior to installation or use of such material and equipment. This documentary evidence is retained under the control of the DOE Project Office QA Records Management System (QARMS) and is sufficient to identify the specific requirements, such as codes, standards, or specifications, that are met by the purchased material and equipment. Specific requirements for the control of purchased items and services are listed below.

## 1.1 PROCUREMENT PLANNING

## 1.1.1 GENERAL

Procurement activities are planned and documented to assure a systematic approach to the procurement process. Procurement planning results in the documented identification of procurement methods and organizational responsibilities. LLNL-YMP Quality Assurance (QA) organization participation is provided for evaluation and selection of suppliers, verification of suppliers' activities and receiving inspections. Planning determines the following:

- o What is to be accomplished.
- o Who is to accomplish it.
- o How it is to be accomplished.
- o When it is to be accomplished.

No.:	Revision:	Date:	Page:
033-YMP-R 7	0	December 15, 1988	2 of 8

### 1.1.2 PROCUREMENT TIMING

To assure interface compatibility and a uniform approach to the procurement process, planning is accomplished as early as practicable and no later than at the start of those procurement activities that are required to be controlled.

### 1.1.3 PROCUREMENT METHODS

Planning results in the documented identification of the methods to be used in procurement activities, the sequence of actions and milestones that indicate the completion of these activities, and the preparation of applicable procedures prior to the initiation of each individual activity listed below. Planning provides for the integration of the following:

- o Procurement document preparation, review, and change control.
- o Selection of procurement sources.
- o LLNL-YMP control of supplier performance.
- o Verification (surveillance, inspection, or audit) activities by the LLNL-YMP, including notification for hold-and-witness points.
- o Control of nonconformances.
- o Corrective action.
- o Acceptance of item or service.
- o QA records.

## 1.2 SOURCE EVALUATION AND SELECTION

### 1.2.1 SELECTION OF SUPPLIERS

The selection of suppliers is based on evaluation of their capability to provide items or services in accordance with the requirements of the procurement documents before the award of contract.

### 1.2.2 SOURCE EVALUATION AND SELECTION MEASURES

Procurement source evaluation and selection measures are implemented by the LLNL-YMP and provide for identification of LLNL-YMP's responsibilities for determining supplier capability.

### 1.2.3 MEASURES FOR EVALUATION AND SELECTION OF PROCUREMENT SOURCES

Measures for evaluation and selection of procurement sources, and the results thereof, are documented and include one or more of the following items:

- o Evaluation of the supplier's history of providing an identical or similar product that performs satisfactorily in actual use. The supplier's history reflects current capability.

No.:	Revision:	Date:	Page:
033-YMP-R 7	0	December 15, 1988	3 of 8

- o Supplier's current quality assurance records supported by documented qualitative and quantitative information that can be objectively evaluated.
- o Supplier's technical and quality capability as determined by a direct evaluation of their facilities and personnel, and the implementation of their QA program.

### 1.3 BID EVALUATION

#### 1.3.1 EXTENT OF CONFORMANCE

Bid evaluation determines the extent of conformance to the procurement documents. This evaluation is performed by individuals or organizations designated to evaluate the following subjects, as applicable to the type of procurement:

- o Technical considerations.
- o QA requirements.
- o Supplier's personnel.
- o Supplier's production capabilities.
- o Supplier's past performance.
- o Alternates.
- o Exceptions.

#### 1.3.2 RESOLUTION OF UNACCEPTABLE QUALITY ASSURANCE CONDITIONS

Before the award of the contract, the LLNL-YMP resolves or obtains commitments to resolve unacceptable quality assurance conditions resulting from the bid evaluation.

### 1.4 SUPPLIER PERFORMANCE EVALUATION

#### 1.4.1 INTERFACE MEASURES

The LLNL-YMP establishes measures to interface with the supplier. The measures include the following:

- o Documentation of the understanding between the LLNL-YMP and supplier of the provisions and specifications of the procurement documents.
- o Requiring the supplier to identify planning techniques and processes to be utilized in fulfilling procurement document requirements.
- o Reviewing supplier documents that are generated or processed during activities fulfilling procurement document requirements.

No.:	Revision:	Date:	Page:
033-YMP-R 7	0	December 15, 1988	4 of 8

- o Identifying and processing necessary change information. Measures to control changes in procurement documents are established, implemented and documented in accordance with the requirements of the LLNL-YMP QAPP.
- o Establishing methods of document information exchange between the LLNL-YMP and supplier.

#### 1.4.2 VERIFICATION MEASURES

##### 1.4.2.1 Extent of Verification

The LLNL-YMP establishes measures to verify supplier's performance, as deemed necessary by the LLNL-YMP. The measures establish the extent of source surveillance and inspection activities.

NOTE: When the LLNL-YMP utilizes another Yucca Mountain Project participating organization, the LLNL-YMP organization initiates a request to the DOE Project Office to conduct a surveillance of the organization performing the work. The surveillance is conducted to determine that the item or activity is being produced or performed in accordance with the LLNL-YMP requirements. These surveillances may utilize LLNL-YMP personnel as technical advisors at the DOE Project Office's discretion.

The extent of verification activities, including planning, are a function of the relative importance, complexity, and quantity of the item or services procured and the supplier's quality performance. Verification activities are accomplished by qualified personnel assigned to check, inspect, audit, or witness the suppliers' activities. These verification activities are conducted as early as practicable. However, LLNL-YMP verification activities do not relieve the supplier of their responsibilities for verification of quality achievement.

##### 1.4.2.2 Record of Verification Activities

Activities performed to verify conformance to requirements of procurement documents are recorded. Source surveillances and inspections, audits, receiving inspections, nonconformances, dispositions, waivers, and corrective actions are documented. These completed documents are considered QA records and are controlled in accordance with 033-YMP-R 17. The LLNL-YMP assures that this documentation is evaluated to determine the supplier's QA program effectiveness.

#### 1.5 CONTROL OF DOCUMENTS GENERATED BY SUPPLIERS

Documents that are generated by suppliers are controlled, handled, and approved in accordance with documented procedures. Means are implemented to assure that the submittal of these documents is accomplished in accordance with the procurement document requirements. These measures provide for the acquisition, processing, and recorded evaluation of technical, inspection, and test data against acceptance criteria.



No.:	Revision:	Date:	Page:
033-YMP-R 7	0	December 15, 1988	5 of 8

## 1.6 ACCEPTANCE OF ITEM OR SERVICE

### 1.6.1 METHODS FOR ACCEPTANCE

Methods are established for the acceptance of an item or service being furnished by the supplier. Prior to offering the item or service for acceptance, the supplier verifies that the item or service being furnished complies with the procurement requirements. Methods used to accept an item or related service from a supplier are either a supplier certificate of conformance, a source verification, a receiving inspection or post-installation test at the facility site, or a combination thereof. Requirements applicable to these methods of acceptance are listed below.

#### 1.6.1.1 Certificate of Conformance

When a certificate of conformance is used, the following minimum criteria are met:

- o The certificate identifies the purchased material or equipment, such as by the purchase order number.
- o The certificate identifies the specific procurement requirements met by the purchased material or equipment, such as codes, standards, or other specifications. This is accomplished by including a list of the specific requirements or by providing at the point of receipt, a copy of the purchase order and the procurement specifications or drawings, together with a suitable certificate. The procurement requirements identified include any approved changes, waivers, or deviations applicable to the subject material or equipment.
- o The certificate identifies any procurement requirements that have not been met, together with an explanation and the means by which to resolve the nonconformances.
- o The certificate is attested to by a person who is responsible for this QA function and whose function and position are described in the LLNL-YMP or supplier's QA program.
- o The certificate system, including the procedures to be followed in filling out a certificate and the administrative procedures for the review and approval of the certificates, are described in the LLNL-YMP or supplier's QA program.
- o Means are provided to verify the validity of supplier certificates and the effectiveness of the certification system, such as during the performance of audits of the supplier or independent inspection or test of the items. Such verification is conducted by the LLNL-YMP at intervals commensurate with the supplier's past quality performance.

#### 1.6.1.2 Source Verification

If source verification is used, then it is performed at intervals that are consistent with the importance and complexity of the item or service, and it is implemented to monitor, witness, or observe activities.

No.: 033-YMP-R 7	Revision: 0	Date: December 15, 1988	Page: 6 of 8
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Source verification is implemented in accordance with plans to perform inspections, examinations, or tests at predetermined points. Upon purchaser acceptance of source verification, documented evidence of acceptance is furnished to the receiving destination of the item, to the LLNL-YMP, and to the supplier.

#### 1.6.1.3 Receiving Inspection

When receiving inspection is used, purchased items are inspected as necessary to verify their conformance to specified requirements, by taking into account source verification and audit documentation and the demonstrated quality performance of the supplier. Receiving inspections are performed in accordance with established procedures and inspection instructions to verify by objective evidence such features as proper configuration; identification; dimensional, physical, and other characteristics; freedom from shipping damage; and cleanliness. Receiving inspections are coordinated with review of supplier documentation when procurement documents require such documentation to be furnished prior to the receiving inspection. Receiving inspections associated with engineered items are planned, performed, and documented in accordance with the requirements specified in 033-YMP-R 10, Para. 2.1, 4.0, 4.1, 6.1, 9.0 and 9.1. Personnel selected for receipt inspection activities have the experience or training commensurate with the scope, complexity, or special nature of the activities. When required, personnel are indoctrinated as to the technical objectives and requirements of the applicable codes and standards and the QA program elements that are applicable.

#### 1.6.1.4 Post-Installation Testing

When post-installation testing is used, post-installation test requirements and acceptance documentation are established mutually by both the LLNL-YMP and the supplier.

### 1.7 ACCEPTANCE OF SERVICES ONLY

#### 1.7.1 PROCUREMENT OF SERVICES ONLY

In certain cases involving procurement of services only, such as third party inspections, engineering, and consulting; and installation, repair, overhaul, or maintenance work, the LLNL-YMP accepts the service by any or any combination of the following methods:

- o Technical verification of data produced.
- o Surveillance, audit, or both, with regard to the activity.
- o Review of objective evidence for conformance to the procurement document requirements such as certifications, stress reports, etc.

### 1.8 CONTROL OF SUPPLIER NONCONFORMANCES

#### 1.8.1 METHODS

The LLNL-YMP and supplier establish and document methods for disposition of items and services that do not meet procurement document requirements. These methods include the following provisions:

#### 1.8.1.1 Evaluation

Provisions for evaluation of nonconforming items.

#### 1.8.1.2 Submittal

Provisions are established for submittal of nonconformance notice by the supplier to the LLNL-YMP. These submittals include supplier recommended disposition (e.g., use as-is or repair) and technical justification. Nonconformances to the procurement requirements or LLNL-YMP approved documents, which consist of one or more of the items listed below are submitted to the LLNL-YMP. Approval of the recommended disposition is in accordance with documented procedures.

- o Technical or material requirement is violated.
- o Requirement in supplier documents, which has been approved by the LLNL-YMP, is violated.
- o Nonconformance cannot be corrected by continuation of the original manufacturing process or by rework.
- o The item does not conform to the original requirement even though the item can be restored to a condition such that the capability of the item to function is unimpaired.

#### 1.8.1.3 Disposition

Provisions for LLNL-YMP disposition of supplier recommendation.

#### 1.8.1.4 Verification

Provisions for verification of the implementation of the disposition.

#### 1.8.1.5 Records Maintenance

Provisions for maintenance of records of nonconformances that are submitted by the supplier.

### 2.0 COMMERCIAL-GRADE ITEMS

#### 2.1 ALTERNATIVES

If a design requires commercial-grade items, then the following requirements are an acceptable alternative to other requirements of this section, except as noted in Paragraph 2.1.2 below and the requirements of 033-YMP-R 4. If a scientific investigation requires use of commercial-grade items, these items are controlled by the use of the following requirements (except Paragraph 2.1.1) and 033-YMP-R 4.

No.:	Revision:	Date:	Page:
033-YMP-R 7	0	December 15, 1988	8 of 8

### 2.1.1 IDENTIFICATION OF COMMERCIAL-GRADE ITEMS

Where the commercial-grade item is to be used as an integral part of the designed facility, it is identified in an approved design or design out-put document. An alternate commercial-grade item may be supplied if the cognizant organization provides verification that the alternate commercial-grade item will perform the intended function and meet the requirements applicable to both the replaced item and its application.

### 2.1.2 SOURCE EVALUATION AND SELECTION

Source evaluation and selection is in accordance with Paragraph 1.2, if it is determined necessary by the LLNL-YMP based on the complexity of the item and importance to safety.

### 2.1.3 PURCHASE ORDER

Commercial-grade items are identified in the purchase order by the manufacturer's published product description (e.g., the catalog number).

### 2.1.4 RECEIPT OF COMMERCIAL-GRADE ITEM

After receipt of a commercial-grade item, the LLNL-YMP determines that the following conditions have been met:

- o Damage was not sustained during shipment.
- o The item received was the item ordered.
- o Inspection, testing, or both, is accomplished by the LLNL-YMP, in accordance with written procedures, to assure conformance with the manufacturer's published requirements. If applicable, acceptance of the item is accomplished via the calibration program in accordance with the requirements of 033-YMP-R 12.
- o Documentation, as applicable to the item, was received and is acceptable.



**CHANGE NOTICE**

CN No.: CN R8-0-1

Affected Document: 033-YMP-R 8, Identification and Control...Data Rev. 0

Prepared by: R.J. Oberle

Approved by: N/A

(Technical Area Leader)

(Date)

Training Required:

Yes  No

Approved by: David W. Short 8/11/89

(YMP QA Manager)

(Date)

Approved by: B. J. J. J. 8/12/89

(YMP Project Leader)

(Date)

Currently Read as Follows:

Part A, Section 1.0, as published

Part B, Section Introduction, as published

Changed to Read:

Part A, Section 1.0, add the following text:

Items tested in accordance with 033-YMP-R 11 of this document shall be identified, controlled and ultimately dispositioned.

Part B, Section Introduction, add the following text:

Samples shall be archived, as required by procedures.

**NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT**

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

No.: 033-YMP-R 8  
Revision: 0  
Date: December 15, 1988  
Page: 1 of 3

Subject: IDENTIFICATION AND CONTROL OF ITEMS, SAMPLES AND DATA

Approved: FEB 10 1989

Approved by: [Signature] 12/20/88  
Date  
Yucca Mountain Project Leader

Approved by: [Signature] 12/15/88  
Date  
Quality Assurance Manager

### INTRODUCTION

This section provides the requirements for the identification and control of items, samples and data and consists of three separate parts. The requirements for items are stated in part A; in part B for samples; and, part C for data resulting from scientific investigations. Part A applies to activities related to the engineered items and does not apply to scientific investigations. Parts B and C apply to scientific investigation activities and do not apply to engineered items.

### PART A - IDENTIFICATION AND CONTROL OF ITEMS

#### 1.0 IDENTIFICATION

Items are identified to assure that only correct and accepted items are used or installed. The identification is verified prior to installation or use. Identification is maintained either on the item, its containers, or in documents traceable to the item from receipt until installed.

#### 1.1 GENERAL

Items of production (batch, lot, component, part) are identified from the initial receipt and fabrication of the items up to and including installation and use. This identification relates an item to an applicable design or other pertinent specifying document.

1.1.1 Physical identification is used to the maximum extent possible. Where physical identification on the item is either impracticable or insufficient, physical separation, procedural control, or other appropriate means are employed.

1.1.2 Identification markings, when used, are applied using materials and methods which provide a clear and legible identification and do not detrimentally affect the function or service life of the item. Markings are transferred to each part of an identified item when subdivided and are not obliterated or hidden by surface treatment or coatings unless other means of identification are substituted.

No.:	Revision:	Date:	Page:
033-YMP-R 8	0	Decmeber 15, 1988	2 of 3

.1.3 When specified by codes, standards or specification that include specific identification or traceability requirements (such as identification or traceability of the item to applicable specification and grade of material; heat, batch, lot, part or serial number; or specified inspection, test or other records) the program is designed to provide such identification and traceability control.

1.1.4 Where specified, items having limited calendar or operating life or cycles are identified and controlled to preclude use of items whose shelf life or operating life has expired.

## 2.0 CONTROL

Provisions are made for the control of item identification consistent with the planned duration and condition of storage, such as: (1) provisions for maintenance or replacement of markings and identification records due to damage during handling or aging; (2) protection of identification on items subject to excessive deterioration due to environmental exposure; (3) provisions for updating existing facility records.

## PART B - IDENTIFICATION AND CONTROL OF SAMPLES

Procedures are developed and implemented to assure that samples are identified and controlled in a manner consistent with their intended use. Such procedures define the responsibilities (including interface between organizations) for collection, identification, handling, storage, transportation and the generation of records.

## 1.0 IDENTIFICATION

Physical identification is used to the maximum extent possible. Where physical identification cannot be placed on the sample, appropriate alternative identification methods are described and used. All identification methods provide methods whereby identification of samples are traceable to the appropriate documentation such as drawings, specifications, drilling logs, test records, inspection documents, and nonconformance reports.

## 1.1 GENERAL

Samples are identified by placing the identification directly on the sample, on their container or on records traceable thereto. If it is impractical to place the identification on the sample, methods are described and implemented to assure that samples are not mixed with like samples and that the correct identification of samples is verified and documented prior to release for use.

1.1.1 Procedures are developed and implemented to assure that sample collection methods, techniques and related equipment produce the intended sample. Sample handling methods are developed, documented and utilized to assure that all samples meet the technical objectives dictated by the scientific investigation, for which the samples are collected.

1.1.2 Storage methodology is developed and implemented to assure that samples are maintained in predetermined physical conditions commensurate with their intended purpose. Samples intended for long term storage receive appropriate treatment to assure that they do not degrade during storage. Long term is defined by the personnel responsible for the activity using the samples and depends on the sensitivity of the sample to storage conditions.

1.1.3 Transportation methods are described and effected by procedures prescribing appropriate containers, handling and any other environmental or safety considerations for the sample(s). Where multiple organizations are involved, appropriate procedures define responsibilities and documentation methods to be used.

1.1.4 Controls are developed and implemented to assure that sample identification is verified and maintained when handled, transported or transferred from one organization's responsibility to another.

1.1.5 Measures are taken to maintain sample identification while in storage. These measures are consistent with the planned duration and conditions of storage and describe actions to be taken where samples have a maximum life expectancy while in storage. Physical segregation of samples to preclude mixing with like samples is used to the maximum degree practical.

1.1.6 Where samples are controlled by more than one organization, procedures describing the organizational responsibilities are developed and implemented.

1.1.7 The DOE Project Office decides the ultimate curation of all types of samples including liquids, gases and solids. The DOE Project Office will, as a minimum, address the transportation, handling, storage, retrievability of samples and the generation and retention of records. All records generated as a result of testing of samples are handled in accordance with 033-YMP-R 17.

## PART C - IDENTIFICATION AND CONTROL OF DATA

### 1.0 IDENTIFICATION

Data generated from a LLNL-YMP scientific investigation is identified to assist in the determination of its correct use. Identification of such data is provided in all documents, information systems, or both, in which such data appear.

#### 1.1 GENERAL

The identification of LLNL-YMP data includes a reference to the origin of the data (task, test, experiment, report, publication, etc.) and an indication of the Quality Assurance Level assigned to the activity which produced the data.

1.1.1 Control measures are established and implemented to assure that LLNL-YMP data are properly identified. These measures include verification of the identification of such data prior to release for use.

1.1.2 Where data are the results of the efforts of more than one organization, procedures describing the organizational responsibilities for that data are developed and implemented. The documentation resulting from the scientific investigation involving more than one organization are annotated to show which organization produced what portion of the data.



NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

No.: 033-YMP-R 9

Revision: 0

Date: December 15, 1988

Page: 1 of 2

Subject: CONTROL OF PROCESSES

Approved: FEB 10 1989

Approved by: *A. Sallan* 12/19/88  
Date  
Yucca Mountain Project Leader

Approved by: *R. E. Johnson* 12/15/88  
Date  
Quality Assurance Manager

## 1.0 GENERAL REQUIREMENTS

The requirements of this section apply to engineered items and scientific investigations for process control. The requirements for special processes apply to engineered items only. Measures are established to assure that processes that affect quality of items or services are controlled either by instruction, procedures, or other appropriate means. Special processes that control or verify quality, such as those used in welding, heat treating, and nondestructive examination are accomplished by qualified personnel using qualified procedures in accordance with applicable codes, standards, specifications, criteria, and other special requirements.

## 2.0 PROCESS CONTROL

### 2.1 METHOD

All processes are controlled by instructions, procedures, drawings, checklists, travelers, or other appropriate means. These means assure that process parameters are controlled and that specified environmental conditions are maintained.

### 2.2 IDENTIFICATION OF SPECIAL PROCESSES

#### 2.2.1 RESPONSIBILITY

Personnel designated responsibility for activities identify which portions of the activities involve the use of special processes. A special process is a process in which the results are highly dependent on either the control of the process or the operator's skill, or both, and in which the specified quality cannot be readily determined by inspection or testing of the item.

#### 2.2.2 QUALIFICATION REQUIREMENTS

The necessary requirements for qualifications of personnel, procedures, or equipment are specified or referenced in the procedures or instructions either for processes that are not covered by existing codes and standards or for processes where the quality requirements for an item or test exceed those of existing codes or standards.

No.:	Revision:	Date:	Page:
033-YMP-R 9	0	December 15, 1988	2 of 2

## ..2.3 CONDITIONS

Conditions necessary for accomplishment of the special process are included in procedures or instructions. These conditions include proper equipment, controlled parameters of the special process and calibration requirements.

## 2.2.4 APPLICABLE CODES AND STANDARDS

The requirements of applicable codes and standards, including acceptance criteria for the special process are specified or referenced in the procedures of instructions.

## 2.3 QUALIFICATION OF SPECIAL PROCESS PROCEDURES

### 2.3.1 PROGRAM FOR QUALIFICATION

Procedures are qualified in accordance with applicable codes, standards or other specifications. The program for qualification of procedures is specified in documents prepared by the cognizant technical organization. The responsible QA organization provides appropriate reviews to assure compliance with these requirements.

## 2.4 QUALIFICATION OF PERSONNEL PERFORMING SPECIAL PROCESSES

### 2.4.1 TRAINING, QUALIFICATION, AND CERTIFICATION

Personnel are trained, qualified, and certified in accordance with written procedures. The training and qualification, and certification are the responsibility of the LLNL-YMP. These procedures are reviewed by the Quality Assurance (QA) organization for compliance with requirements.

### 2.4.2 PROCEDURE

Qualification utilizes the actual working procedure, to the extent possible.

### 2.4.3 PERSONNEL QUALIFICATION REQUIREMENTS

Qualification of personnel incorporates the personnel qualification requirements of the applicable codes, standards, or specifications.

## 2.5 SPECIAL PROCESS EQUIPMENT

Special process equipment is checked out, qualified, and certified in accordance with specified requirements. These requirements implement the requirements of applicable codes, standards, and specifications. Equipment checkout, qualification, and certification are the responsibility of the LLNL-YMP. The QA organization reviews the procedures for qualification of equipment for compliance with requirements.

## 6 SPECIAL PROCESS RECORDS

Records are maintained for the currently qualified personnel, procedures, and equipment of each special process and the requirements for maintenance of these records are specified. Special process verification methods and criteria are documented and retained.

**NUCLEAR WASTE MANAGEMENT PROGRAM**

 CONTROLLED COPY NO. 0100

No.: 033-YMP-R 10

Revision: 0

Date: December 15, 1988

Page: 1 of 4

Subject:

INSPECTION

Approved:

FEB 10 1989

 Approved by: R. S. Fallon <sup>12/20/88</sup>  
 Date  
 Yucca Mountain Project Leader

 Approved by: R. E. Stewart <sup>12/15/88</sup>  
 Date  
 Quality Assurance Manager

### 1.0 GENERAL REQUIREMENTS

Measures are established by the responsible technical management to provide inspections required to verify conformance of an engineered item to specified requirements. These measures provide for: (1) inspections to be performed in accordance with written procedures by qualified personnel who did not perform the work being evaluated; (2) criteria for determining when inspections are required or how and when inspections are to be performed; (3) sampling methodology, if used; (4) the identification of mandatory hold points; and (5) identification of inspections requiring special expertise. The results of all inspection activities are documented by the inspecting organization. The requirements of this section apply to engineered items and do not apply to scientific investigation activities.

### 2.0 PERSONNEL

#### 2.1 REPORTING INDEPENDENCE OF PERSONNEL

Inspections are performed by personnel who do not report directly to the immediate supervisor(s) who is/are responsible for performing the activity being inspected. If these personnel are not part of the formal QA organization, they have sufficient authority, access to work areas, and organizational freedom to (1) identify quality problems; (2) initiate, recommend, or provide solutions to quality problems through designated channels; (3) verify implementation of solutions; and (4) assure that further processing, delivery, installation or use is controlled until proper disposition of a nonconformance, deficiency, or unsatisfactory condition has occurred. When the persons who perform the inspection activities are not part of the formal QA organization (i.e., part of line management), then the quality assurance organization overviews and monitors the inspection activity.

No.:	Revision:	Date:	Page:
033-YMP-R 10	0	December 15, 1988	2 of 4

## .2 QUALIFICATION

Each person who verifies conformance of work activities for purposes of acceptance is qualified to perform the assigned inspections or tests. The qualification of personnel performing inspection and test activities are certified in writing. Personnel selected to perform inspection and test activities have the experience or training commensurate with the scope, complexity, or special nature of the activities. Personnel are indoctrinated as to the technical objectives and requirements of the applicable codes and standards and the QA program elements that are employed.

## 3.0 INSPECTION HOLD POINTS

Mandatory inspection or witness hold-points are established by the responsible technical management as necessary. When such hold or witness points are established, work may not proceed without the specific consent of the responsible representative. These hold or witness points are indicated in appropriate documents controlling the activity. Consent to waive any specified hold or witness point is documented before work can be continued beyond the designated hold or witness point.

## 4.0 INSPECTION PLANNING

Planning for inspection activities is accomplished and documented via inspection procedures, instructions, or checklists. Inspection procedures, instructions, or checklists provide for the following:

- o Identification of characteristics and activities to be inspected.
- o A description of the method of inspection.
- o Identification of the individuals or groups responsible for performing the inspection operation.
- o Acceptance and rejection criteria.
- o Identification of required procedures, drawings, and specifications and revisions.
- o Recording inspector or data recorder and the results of the inspection operation.
- o Specifying necessary measuring and test equipment including accuracy requirements.

## 4.1 SAMPLING

When sampling is used to verify acceptability of a group of items, the sampling procedures is based on recognized standard practices.

## 5.0 IN-PROCESS INSPECTION

Inspection of items in-process or under construction are performed for work activities where necessary to verify quality. If inspection of processed items is impossible or disadvantageous, indirect control by monitoring of processing methods, equipment, and personnel is provided.

## 5.1 COMBINED INSPECTION AND MONITORING

Where a combination of inspection and process monitoring methods is used, it is performed in a systematic manner to assure that the specified requirements for control of the process and quality of the item are being achieved throughout the duration of the process. Both inspection and process monitoring are provided when other techniques cannot provide adequate control.

## 5.2 CONTROLS

Where required, controls are established and documented for the coordination and sequencing of activities at established inspection points during successive stages of the conducted process or construction.

## 6.0 FINAL INSPECTION

Final inspection includes a records review of the results and resolution of nonconformance identified by prior inspections. The final inspection is planned to reach a conclusion regarding conformance of the item to specified requirements.

## 6.1 INSPECTION REQUIREMENTS

Completed items are inspected for completeness, markings, calibration, adjustments, protection from damage, or other characteristics as required to verify the item's quality and conformance to specified requirements. If not previously examined, then quality records are examined for adequacy and completeness.

## 6.2 ACCEPTANCE

The item's acceptance is documented and approved by identified authorized personnel.

## 6.3 MODIFICATIONS, REPAIRS, OR REPLACEMENTS

Modifications, repairs, or replacements of items performed subsequent to final inspection require reinspection or retests, as appropriate, to verify acceptability.

## 7.0 IN-SERVICE INSPECTION

Required in-service inspection of structures, systems, or components is planned and executed by or for the organization responsible for operation.

## 7.1 METHODS

Inspection methods are established and executed to verify that the characteristics of an item continue to remain within specific limits. Inspection methods include evaluation of performance capability of essential emergency and safety systems and equipment, verification of calibration and integrity of instruments and instrument systems, and verification of maintenance, as appropriate.

## 8.0 QUALIFICATION REQUIREMENTS

Appendix C of this document defines the requirements for the qualification of inspection and test personnel who perform inspection and testing to verify conformance to specified requirements for the purpose of acceptance. Appendix D defines the requirements for qualification of nondestructive examination personnel.

## 9.0 RECORDS

The following are the requirements for inspection records which are retained in accordance with 033-YMP-R 17.

### 9.1 INSPECTION RECORDS

As a minimum, inspection records identify the following:

- o Item or activity.
- o The date of the inspection.
- o Name of individual performing the inspection.
- o Name or names of personnel contacted during the inspection.
- o A description of the type of observation (method of inspection).
- o Inspection criteria including identification of drawing, specification, etc. (and applicable revision).
- o Equipment used during the inspection.
- o Evidence as to the acceptability of the results.
- o Acceptance statement.
- o References to information on action taken in connection with conditions adverse to quality, nonconformances and/or actions taken to resolve any discrepancies.

### 9.2 PERSONNEL QUALIFICATION RECORDS

Records of personnel qualification are established and maintained. The actual examinations used to qualify personnel are retained as part of the record files.

**NUCLEAR WASTE MANAGEMENT PROGRAM**

 CONTROLLED COPY NO. 0100

No.: 033-YMP-R 11

Revision: 0

Date: December 15, 1988

Page: 1 of 2

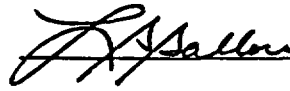
Subject:

TEST CONTROL

Approved:

FEB 10 1989

Approved by:


 12/19/88  
Date

Yucca Mountain Project Leader

Approved by:


 12/15/88  
Date

Quality Assurance Manager

### 1.0 GENERAL DISCUSSION

Tests required to verify conformance of an item to specified requirements and to demonstrate that items will perform satisfactorily in service are planned and executed. Characteristics to be tested and test methods to be employed are specified. The test procedures are implemented by trained and appropriately qualified personnel. The requirements of this section apply to engineered items and do not apply to scientific investigation activities.

### 2.0 TEST REQUIREMENTS

Test requirements and acceptance or rejection criteria, including required levels of precision and accuracy, are provided or approved by the LLNL-YMP, unless otherwise designated. Required tests, including, as appropriate, prototype qualification tests, production tests, proof tests prior to installation, construction tests, pre-operational tests, and operational tests are controlled. Test requirements and acceptance or rejection criteria are based upon specified requirements contained in applicable design or other pertinent technical documents.

### 3.0 TEST PROCEDURES

#### 3.1 TEST INSTRUCTIONS, PROCEDURES AND DRAWINGS

Instructions, procedures, and drawings for tests are prepared in accordance with the requirements of 033-YMP-R 5. Test procedures or instructions contain criteria for determining when a test is required and how the test is performed.

No.:	Revision:	Date:	Page:
033-YMP-R 11	1	December 15, 1988	2 of 2

## 2 TEST PREREQUISITES

Test procedures include or reference test objectives and provisions for assuring that prerequisites for the given test have been met, that adequate instrumentation is available and used, that necessary monitoring is performed, and that suitable environmental conditions are maintained. Prerequisites include the following, as applicable: (1) calibrated instrumentation, (2) appropriate equipment, (3) completeness of item to be tested, (4) trained or appropriately qualified personnel, (5) condition of test equipment and the item to be tested, (6) suitable and controlled environmental conditions, and (7) provisions for data acquisition and storage.

### 3.3 REVIEW OF PROCEDURES

Test plans and procedures used for qualification tests are reviewed in accordance with the verification requirements defined in Paragraph 2.4 of 033-YMP-R 3. They prescribe mandatory inspection hold points (as required), methods of documenting test data and results, and methods of data analysis.

### 3.4 POTENTIAL SOURCES OF ERROR

The potential sources of uncertainty and error in test procedures, which must be controlled and measured to assure that tests are well controlled, are identified.

### 3.5 ALTERNATIVES

In lieu of specifically prepared written test procedures, appropriate sections of related documents, such as American Society for Testing and Materials (ASTM) methods, Supplier manuals, equipment maintenance instructions, or approved drawings or travelers with acceptance criteria, are used. Such documents include adequate instructions to assure the required quality of work.

## 4.0 TEST RESULTS

Test results are documented and their conformance with acceptance criteria evaluated by a responsible authority to assure that test requirements have been satisfied.

## 5.0 TEST RECORDS

Test records, as a minimum, identify the following:

- o Item tested.
- o Date of test.
- o Tester or data recorder identification.
- o Type of observation.
- o Results and acceptability.
- o Action taken in connection with any deviations noted.
- o Person evaluating results.



NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

No.: 033-YMP-R 12

Revision: 0

Date: December 15, 1988

Page: 1 of 2

Subject: CONTROL OF MEASURING AND TEST EQUIPMENT

Approved: FEB 10 1989

Approved by: [Signature] <sup>12/22/88</sup> Date  
Yucca Mountain Project Leader

Approved by: [Signature] <sup>12/22/88</sup> Date  
Quality Assurance Manager

### 1.0 GENERAL

#### 1.1 MAINTAINING ACCURACY OF EQUIPMENT

Measures are established to assure that tools, gages, instruments, and other measuring and test equipment used in activities that affect quality are properly controlled, calibrated, and adjusted at specified periods to maintain accuracy within necessary limits.

#### 1.2 SCOPE OF CONTROL PROGRAM

The Quality Assurance Program Plan (QAPP) defines the scope and methodology of the program for the control of measuring and test equipment. This includes all measuring and test equipment or systems used to calibrate, measure, gage, test, or inspect either to control or to acquire data to verify conformance to a specified requirement, or to establish characteristics or values not previously known.

#### 1.3 DESCRIPTION OF RESPONSIBILITIES

Responsibilities for the effective establishment, implementation and assurance of the calibration program are described.

### 2.0 PURPOSE OF EQUIPMENT

Measuring and test equipment are devices or systems used to calibrate, measure, gage, test, or inspect either to control or to acquire data to verify conformance to a specified requirement, or to establish characteristics or values not previously known.

Specific requirements for control of measuring and test equipment are listed below:

No.:	Revision:	Date:	Page:
033-YMP-R 12	0	December 15, 1988	2 of 2

## 1 SELECTION

Selection of measuring and test equipment is controlled to assure that such equipment is of proper type, range, and accuracy to accomplish the function of determining conformance to specified requirements. The type, range, accuracy and tolerance of a measuring device are specified in test and inspection procedures. Each device has a unique identification number. This number is recorded on the data sheet, log, etc., along with the measurement taken, to assure traceability to the measurement of the device that was used to take the measurement.

### 2.2 CALIBRATION

Measuring and test equipment is calibrated against certified equipment having known valid relationships to the National Bureau of Standards or other nationally recognized standards and is calibrated, adjusted, and maintained at prescribed intervals. If no nationally recognized standards exist, the basis for calibration is documented. Calibration standards have equal or greater accuracy than equipment being calibrated. Calibration standards with the same accuracy may be used if it can be shown to be adequate for the requirements and the basis of acceptance is documented and authorized by responsible management. The management authorized to perform this function is identified.

### 2.3 CONTROL

The method and interval of calibration for each item is defined, based on the type of equipment, stability, characteristics, required accuracy, precision, intended use, degree of usage, and other conditions that affect measurement control. Measuring and test equipment is labeled, tagged, or otherwise documented in a fashion which indicates the due date of the next calibration and to provide traceability to calibration data. If measuring and test equipment is found to be out of calibration, an evaluation is made and documented of the validity of previous results obtained and of the acceptability of items previously inspected, tested or data gathered since the last calibration. Devices that are out of calibration are tagged or segregated and are not used until they have been recalibrated. If any measuring or test equipment is found to be out of calibration consistently then it is repaired or replaced. Calibration is performed when the accuracy of equipment is suspect.

### 2.4 COMMERCIAL DEVICES

Calibration and control measures are not required for rulers, tape measures, levels, and other such devices, if normal commercial equipment provides adequate accuracy.

### 2.5 HANDLING AND STORAGE

Measuring and test equipment are handled properly and stored to maintain accuracy.

## 6 RECORDS

Records are maintained and equipment is marked suitably to indicate calibration status. Calibration records identify the calibration procedure (including revision) utilized to perform the calibration.

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

No.: 033-YMP-R 13

Revision: 0

Date: December 15, 1988

Page: 1 of 2

Subject:

HANDLING, SHIPPING, AND STORAGE

Approved:

FEB 10 1989

Approved by: R. S. Pellow 12/20/88 Date Yucca Mountain Project Leader  
Approved by: R. C. E. Schum 12/15/88 Date Quality Assurance Manager

### 1.0 GENERAL REQUIREMENTS

Measures are established to control the packaging, handling, storage, shipping, cleaning, and preservation of material and equipment to prevent damage, loss, or deterioration. Handling, storage, and shipping of items is conducted in accordance with established work and inspection instructions, drawings, specifications, shipment instructions, or other pertinent documents or procedures specified for use in conducting the activity. Specific requirements are listed below.

#### 1.1 SPECIAL EQUIPMENT AND PROTECTIVE ENVIRONMENTS

When required for particular items, special equipment (e.g., containers, shock absorbers, and accelerometers) and special protective environments (e.g., an inert gas atmosphere, specific moisture content levels, and temperature levels) are specified and provided, and their existence verified.

#### 1.2 SPECIFIC PROCEDURES.

When required for critical, sensitive, perishable, or exceptionally expensive articles, specific procedures for handling, storage, packaging, shipping, and preservation are used.

#### 1.3 INSPECTION AND TESTING OR SPECIAL TOOLS AND EQUIPMENT

Special handling tools and equipment are utilized and controlled as necessary to assure safe and adequate handling. Special handling tools and equipment are inspected and tested in accordance with procedures and at specified time intervals to verify that the tools and equipment are maintained adequately.

No.:	Revision:	Date:	Page:
033-YMP-R 13	0	December 15, 1988	2 of 2

#### ..4 OPERATORS OF SPECIAL EQUIPMENT

Operators of special handling and lifting equipment are experienced or trained to use the equipment.

#### 1.5 MARKING AND LABELING

Instructions for marking and labeling for packaging, shipment, handling, and storage of items are established as necessary to adequately identify, maintain, and preserve the item, including indication of the presence of special environments or the need for special controls.



**CHANGE NOTICE**

CN No.: CN R 14-0-1

Affected Document: 033-YMP-R 14, Inspection, Test and Operating Status Rev. 0

Prepared by: R.J. Oberle

Approved by: N/A

(Technical Area Leader)

(Date)

Training Required:

Yes  No

Approved by: David W. Stewart 8/11/89

(YMP QA Manager)

(Date)

Approved by: Philip [Signature] 8/12/89

(YMP Project Leader)

(Date)

Currently Read as Follows:

Section 1.0, as published

Changed to Read:

Section 1.0, add the following text:

Procedures shall be established to control altering the sequence of required tests, inspections, and other operations important to safety. Such actions shall be subject to the same controls as the original review and approval.

The status of nonconforming, inoperative, or malfunctioning structures, systems, and components shall be documented and identified to prevent inadvertant use. The organization responsible for this function shall also be identified.

**NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT**

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

Subject: INSPECTION, TEST, AND OPERATING STATUS

Approved: FEB 10 1988

Approved by: J. S. Sallan 12/19/88  
Date  
Yucca Mountain Project Leader

Approved by: R. E. Schum 12/15/88  
Date  
Quality Assurance Manager

### 1.0 INDICATION OF STATUS

The requirements of this section apply to engineered items and do not apply to scientific investigations. The status of inspection and test activities are identified either on the items or in documents traceable to the items where it is necessary to assure that required inspections and tests are performed and to assure that items which have not passed the required inspections and tests are not inadvertently installed, used, or operated. Status indicators provide for indicating the operating status of systems and components of the facility, such as by tagging valves and switches, to prevent inadvertent operation.

### 2.0 METHODS OF INDICATING STATUS

Status is maintained through indicators, such as physical location and tags, markings, travelers, stamps, inspections records, or other suitable means. Procedures describing status indicators and their use contain current actual examples of each type indicator.

### 3.0 APPLICATION AND REMOVAL OF STATUS INDICATORS

The authority for application and removal of status indicating tags, markings, labels, and stamps is specified in procedures governing inspection, test, and operating status.

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO.           - 0100          

No.: 033-YMP-R 15

Revision: 0

Date: December 15, 1988

Page: 1 of 4

Subject:

CONTROL OF NONCONFORMING ITEMS

Approved:

FEB 10 1989

Approved by:


 12/19/88  
Date

Yucca Mountain Project Leader

Approved by:


 12/15/88  
Date

Quality Assurance Manager

## 1.0 GENERAL REQUIREMENTS

Measures are established to control items that do not conform to requirements to prevent their inadvertent installation or use. These measures include documented procedures for identification, documentation, evaluation, segregation (when practical), disposition, and notification to affected organizations. All personnel involved in LLNL-YMP activities are responsible for reporting nonconformances in accordance with established nonconformance control procedures. These procedures are consistent with the minimum requirements listed below.

### 1.1 IDENTIFICATION

#### 1.1.1 METHOD OF IDENTIFICATION

Identification of nonconforming items are made by marking, tagging, or other methods that do not adversely affect the end use of the item. The identification is legible, easily recognizable, and contains the nonconformance report number. The nonconformance report number is a sequential number preceded by the organizational acronym (e.g., LLNL-1, etc). If tags are used, they are securely attached to avoid loss during handling.

#### 1.1.2 EXCEPTIONS

If identification of each nonconforming item is not practical, the container, package, or segregated storage area, as appropriate, is identified.

#### 1.1.3 CONDITIONAL RELEASE

Work on the nonconforming item is stopped until completion of the action specified in the Nonconformance Report (NCR) disposition. If only a specific portion of the item is in nonconformance, then that specific area is identified and work may proceed on the remaining areas.

No.: 033-YMP-R 15	Revision: 0	Date: December 15, 1988	Page: 2 of 4
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If work on a nonconforming item must be continued (conditional release) prior to implementation of the disposition, the approval of the DOE Project Office is obtained before such continuance. Requests for conditional releases on nonconforming items include documented justification that the following conditions are met:

- o The nonconforming item can be removed or corrected at a later date without damage to, or contamination of the associated permanent facility equipment or structure.
- o The nonconforming item remains accessible for inspection.
- o The nonconforming item is evaluated and limitation(s) for use of the equipment or system is established.
- o Traceability and identification of the nonconforming item are maintained.

## 1.2 LOGGING

### 1.2.1 NONCONFORMANCE CONTROL LOG

The LLNL-YMP maintains a nonconformance control log to track nonconforming items. This log contains the following information:

- o The nonconformance report number.
- o A brief description of the nonconforming condition.
- o Identification of the person or organization responsible for determining and carrying out the nonconformance disposition.
- o The status of each nonconformance report (open or closed).

## 1.3 SEGREGATION

### 1.3.1 HOLD AREA

When practical, nonconforming items are segregated by placing them in a clearly identified and designated hold area until they are dispositioned properly.

### 1.3.2 ALTERNATIVE

When segregation is impractical or impossible because of physical conditions, such as size, weight, or access limitations, other precautions are employed to preclude inadvertent use of a nonconforming item.

## 1.4 DISPOSITION

### 1.4.1 NONCONFORMANCE CHARACTERISTICS

Nonconforming characteristics are reviewed and recommended dispositions of nonconforming items are proposed and approved in accordance with documented procedures. Further processing, delivery, installation, or use of a nonconforming item is controlled pending an evaluation and an approved disposition by authorized personnel. Distribution of nonconformance documentation is made to all affected organizations.



No.:	Revision:	Date:	Page:
033-YMP-R 15	0	December 15, 1988	3 of 4

#### 1.4.2 RESPONSIBILITY AND AUTHORITY

The responsibility and authority for the evaluation, disposition, and close-out of nonconforming items is defined and documented. Those personnel assigned signature approval of the disposition are identified. Quality Assurance (QA) responsibilities relating to nonconformances are described.

#### 1.4.3 PERSONNEL

Personnel performing evaluations to determine a disposition have demonstrated competence in the specific area they are evaluating, an adequate understanding of the requirements, and access to pertinent background information.

#### 1.4.4 DISPOSITIONING OF NCR

The person or organization assigned the responsibility of dispositioning the NCR assures the following:

- o Nonconformance documentation adequately identifies and describes the nonconformance.
- o Appropriate justification for the disposition is documented. In the case of use-as-is or repair dispositions, technical justification is required. The as-built records, if such records are required, reflect the accepted deviation.
- o The disposition references any approved design documents, procedures, plans, work orders, etc., used for the correction of the nonconforming condition.
- o The technical details for correction of the nonconforming condition are adequate for the recommended disposition.
- o If continuance is requested, justification for the activity to continue is documented and approved by the appropriate DOE Project Office Branch Chief and the DOE Project Office Quality Assurance Manager.
- o The disposition complies with existing design documents, test plans or procedures, reports, and regulatory requirements.
- o If a change to reflect the as-built condition is appropriate, then the disposition addresses action to change the existing design documents, test plans or procedures, reports, etc. Any documents changed are cross-referenced on the NCR.
- o Disposition identifies and documents the correction as repair, rework, use-as-is, or reject/scrap.
- o Disposition identifies the people or organization responsible to implement the disposition.

No.:	Revision:	Date:	Page:
033-YMP-R 15	0	December 15, 1988	4 of 4

#### 1.4.5 DOE PROJECT OFFICE APPROVAL

In those cases where the proposed disposition is "repair", the DOE Project Office approves the proposed disposition prior to implementation. In the case of a proposed disposition of "use-as-is", the NCR is forwarded to the DOE Project Office for approval after all actions necessary to support the technical justification of the disposition is completed. The appropriate DOE Project Office Branch Chief and the DOE Project Office Quality Assurance Manager approve NCR dispositions involving "repair" or "use-as-is" determinations and conditional release recommendations.

#### 1.4.6 CORRECTIVE ACTION

The action taken to correct the nonconforming item is verified and documented. Repaired or reworked items are reexamined in accordance with applicable procedures and with the original acceptance criteria, unless the nonconforming item disposition establishes alternate acceptance criteria.

#### 1.4.7 INTERFACES

Internal interfaces between LLNL-YMP units and external interfaces between LLNL-YMP and other High-level Nuclear Waste Program participating organizations are clearly described.

#### 2.0 REPETITIVE NONCONFORMANCES

When repetitive or recurring nonconforming conditions are identified, an evaluation is made as to whether or not further programmatic corrective action is warranted to preclude repetition. This corrective action is beyond the scope of the action taken for the disposition on the existing NCRs and is processed in accordance with corrective action procedures prescribed by the LLNL-YMP.

#### 3.0 TRENDING

Nonconformance reports are periodically analyzed by the QA organization to show quality trends and to help identify root causes of nonconformances. Results are reported to upper management for review and assessment.

#### 4.0 DISTRIBUTION OF DOCUMENTS

Copies of nonconformance reports for items are sent to the DOE Project Office Quality Assurance Manager upon issuance and upon closure. The original nonconformance reports are sent to the DOE Project Office for approval as required by Paragraph 1.4.5.

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

Subject: CORRECTIVE ACTION

Approved: FEB 10 1989

Approved by: [Signature] 12/19/88  
Date  
Yucca Mountain Project Leader

Approved by: [Signature] 12/15/88  
Date  
Quality Assurance Manager

### 1.0 GENERAL

A corrective action system is defined to assure that conditions adverse or potentially adverse to quality are identified promptly and corrected as soon as practical.

### 1.1 SIGNIFICANT ADVERSE CONDITIONS

For significant conditions adverse to quality the identification, cause, and corrective action taken to preclude recurrence are documented and reported to immediate management and upper levels of management for review and assessment. A significant condition adverse to quality is one which, if not corrected, could have a serious effect on safety or operability. Significant conditions include, but are not limited to breakdowns in the Quality Assurance program and repetitive nonconformances. Upon discovering or receiving notification that a significant condition adverse to quality or an unusual occurrence exists, the LLNL-YMP assures that:

- o Immediate actions are taken to remedy the specific conditions.
- o Causative factors are determined.
- o Controls are reviewed, implemented, monitored, and revised, if necessary.
- o Affected managers at all levels are notified of adverse conditions and of lessons learned to improve conditions or avoid similar occurrences.

### 1.2 FOLLOW-UP ACTION

The QA organization documents concurrence of the adequacy of proposed corrective actions to assure that QA requirements are satisfied. Follow-up action is taken by the QA organization to verify proper implementation of this corrective action and to close out the corrective action. Those responsible for implementing the corrective action assure that the corrective action is completed in a timely manner.

### 1.3 CORRECTIVE ACTION

Corrective action reports are periodically analyzed by the QA organization to show quality trends. Results are reported to upper management for review and assessment.

### 2.0 DISTRIBUTION OF DOCUMENTS

Copies of corrective action reports are sent to the DOE Project Office Quality Assurance Manager by the LLNL-YMP upon issuance and closure.

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

No.: 033-YMP-R 17

Revision: 0

Date: December 15, 1988

Page: 1 of 8

Subject:

QUALITY ASSURANCE RECORDS

Approved:

FEB 10 1988

Approved by:

*[Signature]*  
Date

Yucca Mountain Project Leader

Approved by:

*[Signature]*  
Date

Quality Assurance Manager

### 1.0 GENERAL REQUIREMENTS

Records that furnish documentary evidence of quality are specified, prepared, and maintained in accordance with the requirements of this Section. This includes the requirements that all documents be legible, identifiable, and retrievable.

### 1.1 DEFINITION

A document or other item is not considered to be a Quality Assurance Record until it satisfies the definition of a Quality Assurance Record as defined below. The term records, used throughout this Section is to be interpreted as Quality Assurance Records. Quality Assurance Records include (1) individual documents that have been executed, completed, and approved and furnish evidence of the quality and completeness of data (including raw data), and activities affecting quality; (2) documents prepared and maintained to demonstrate implementation of quality assurance programs (e.g., audit, surveillance, and inspection reports); (3) procurement documents; (4) other documents, such as plans, correspondence, documentation of telecons, specifications, technical data, books, maps, papers, photographs, and data sheets; (5) magnetic media; and (6) other materials that provide data and document quality, regardless of the physical form or characteristic. A completed record is a document that will either receive no more entries or whose revision would normally consist of the reissue of the document; and is signed and dated by the originator and, as applicable, by personnel authorized to approve the document. Records are distributed, handled and controlled in accordance with written procedures. All records, including superseded records, are retained.

### 1.2 ESTABLISHING A RECORD SYSTEM

A record system or systems is established by the LLNL-YMP at the earliest practicable time consistent with the schedule for accomplishing work activities.

### 1.2.1 RECORDS MANAGEMENT

The record system is defined, implemented, and enforced in accordance with written procedures, instructions, or other documentation prepared in accordance with 033-YMP-R 5.

Consistent with applicable regulatory requirements, the DOE Project Office establishes requirements concerning record types and retention including duration, location, and assigned responsibility.

### 1.2.2 MINIMUM RECORDS

Sufficient records are specified, prepared, and maintained to furnish documented evidence of activities that affect quality. The records include at least the following: operating logs, the results of reviews (i.e., data, analysis), inspections, tests, audits, monitoring of work performance, and materials analyses. Also, the records include closely related data such as qualifications of personnel, procedures, and equipment. A list of typical QA records is contained in Appendix E.

### 1.2.3 CONTROL OF RECORDS

Requirements and responsibilities for record transmittal, distribution, retention, maintenance, and disposition of QA records are established and documented.

### 1.3 PRESERVATION OF RECORDS

The procedure that defines the implementation of the record system for the LLNL-YMP identifies measures to be implemented for the preservation and safe-keeping of the records before storage and for the prevention of delays between record completion and storage at the DOE Project Office Record Center.

### 1.4 RETENTION CLASSIFICATION

For purposes of record retention, all LLNL-YMP records are classified as lifetime records and are retained for the life of the LLNL-YMP.

## 2.0 GENERATION OF RECORDS

### 2.1 RECORDS SPECIFICATION

The applicable design specifications, procurement documents, implementing procedures, operational procedures, or other documents specify the records to be generated, supplied, or maintained by the LLNL-YMP.

#### 2.1.1 QUALITY OF RECORDS

Documents that are designated to become records are legible, identifiable, accurate, complete, reproducible, microfilmable, and appropriate to the work accomplished.

#### 2.1.2 COMPLETION OF RECORDS

Documents that are designated to become records are completed in accordance with the methods specified by the DOE Project Office.

## 3.0 VALIDATION OF RECORDS

### 3.1 METHODS OF VALIDATION

Documents are considered valid records only if stamped, initialed, or signed and dated by authorized personnel, or otherwise authenticated in accordance with approved procedures. These records are originals or reproduced copies. Authentication may take the form of a statement by the responsible individual. Handwritten signatures are not required if the document is clearly identified as a statement by the reporting individual.

#### 3.2 AUTHENTICATION LIST

The LLNL-YMP maintains a list containing the signatures and initials of the personnel authorized to authenticate records.

## 4.0 RECEIPT OF RECORDS

### 4.1 RECEIPT CONTROL

The LLNL-YMP designates a person as responsible for receiving the records. The designee is responsible for organizing and implementing a system of receipt control of records for permanent and temporary storage in accordance with approved procedures. The receipt control system is structured to permit a current and accurate assessment of the status of records during the receiving process. As a minimum, the receipt control system includes the following:

- o A method for designating the required records.
- o A method for identifying the records received.
- o Procedures for receipt and inspection of incoming records.
- o A method for submittal of completed records to the storage facility without unnecessary delay.

## 4.2 PROTECTION OF RECORDS

The individual responsible for receiving records provides protection from damage, deterioration, or loss during the time that the records are in their possession.

## 5.0 RECORDS IDENTIFICATION

### 5.1 IDENTIFICATION DESIGNATION

Records or indexing systems, or both provide sufficient information to permit identification between the record and the items or activities to which it applies. Records are clearly identified by a unique number or other designation which is directly traceable to controlling programmatic information (e.g., project, contract number, task number, preparing organization, author, date, title, subject, etc.). The identification number or other designation is not repeated. The DOE Project Office or its designee reviews and approves the records identification system of the LLNL-YMP to assure consistency.

### 5.2 INDEXING SYSTEM

The records are indexed and the indexing system or systems include, as a minimum, the location of the record within the records system or systems.

## 6.0 PERMANENT STORAGE FACILITY

Records are controlled from the time they are complete until the time they are stored in a permanent storage facility. Temporary storage, preservation, safe keeping, and retrievability of completed records are in accordance with the requirements applicable to the permanent storage of records. The use of dual storage facilities is an acceptable alternative to a single fire-rated, environmentally controlled facility.

### 6.1 STORAGE LOCATION

The records are stored in a predetermined location or locations that meet the requirements of applicable standards, codes, and regulatory agencies.

### 6.2 STORAGE PROCEDURE

Before the records are stored, a written storage procedure is prepared and responsibility assigned for enforcing the requirements of that procedure. As a minimum, this procedure includes the following:

- o A description of the storage facility.
- o The filing system to be used.
- o The method for verifying that the records received are legible and are in agreement with the transmittal document.



- o The method of verifying that the records are those designated (see Paragraph 4.1).
- o The rules governing access to and control of the files.
- o The method for maintaining control of and accountability for records removed from the storage facility.
- o A method for filing supplemental information (see Paragraph 9.0).

## 7.0 PRESERVATION

Records are stored in a manner approved by the LLNL-YMP. In order to preclude deterioration of the records, the following requirements apply:

- o Provisions are made in the storage arrangement to prevent damage from moisture, temperature, and pressure.
- o Records are firmly attached in binders or placed in folders or envelopes for storage in steel file cabinets or on shelving in containers.
- o Provisions are made for special processed records (e.g., radiographs, photographs, negatives, microfilm, magnetic material, etc.) to prevent damage from excessive light, stacking, electromagnetic fields, temperature, and humidity.

## 8.0 SAFEKEEPING

### 8.1 MEASURES TO PRECLUDE ENTRY

Measures are established to preclude the entry of unauthorized personnel in the storage area. These measures guard against larceny and vandalism.

### 8.2 REPLACEMENT, RESTORATION, OR SUBSTITUTION

Measures are taken to provide for replacement, restoration, or substitution of lost or damaged records. These measures are accomplished within 90 days following determination that either a record has been lost or a record has been damaged to a degree that it is no longer complete or legible.

## 9.0 CORRECTED INFORMATION IN RECORDS

### 9.1 METHOD

Records are corrected in accordance with written procedures that provide for appropriate review or approval by the LLNL-YMP.

### 9.2 IDENTIFICATION

The correction includes the date and the identification of the person authorized to issue such correction and does not obliterate the corrected data.

No.:	Revision:	Date:	Page:
033-YMP-R 17	0	December 15, 1988	6 of 8

## 10.0 STORAGE FACILITY

The following requirements apply to both permanent and temporary record storage facilities.

### 10.1 CONSTRUCTION AND MAINTENANCE OF FACILITY

Records are stored in facilities constructed and maintained in a manner that minimizes the risk of damage or destruction from natural disasters, such as winds, floods, or fires; environmental conditions such as high and low temperatures and humidity; and infestation of insects, mold, or rodents.

### 10.2 METHODS

The two satisfactory methods of providing storage facilities are (1) single and (2) dual; these are detailed in the following sections.

#### 10.2.1 SINGLE FACILITY

Design and construction of a single record storage facility meet the following criteria:

- o Reinforced concrete, concrete block, masonry, or equal construction.
- o A floor and roof with drainage control and if a floor drain is provided, then a check valve (or equivalent device) is included.
- o Doors, structures and frames, and hardware that are designed to comply with the requirements of a minimum two-hour fire rating.
- o Sealant applied over walls as a moisture or condensate barrier.
- o Surface sealant placed on the floor to provide a hard wearing surface to minimize concrete dusting.
- o Foundation sealant and provisions for drainage.
- o Forced-air circulation with a filtration system.
- o A fire protection system.
- o Only those penetrations used exclusively for fire protection, communication, lighting, or temperature and humidity control are allowed. All such penetrations are sealed or dampered to comply with the minimum two-hour fire protection rating.
- o The construction details are reviewed for adequacy of protection of contents by a person who is competent in the technical fields of fire protection and fire extinguishing.
- o If the facility is located within a building or structure, then the environment and construction of that building can provide a portion or all of these criteria.

No.:	Revision:	Date:	Page:
033-YMP-R 17	0	December 15, 1988	7 of 8

### 10.2.2 ALTERNATE SINGLE FACILITIES

The following are acceptable alternatives to the criteria for a single facility:

- o Two-hour fire rated vault that meets National Fire Protection Association (NFPA) 232-1975.
- o Two-hour fire rated Class B file containers that meet the requirements of NFPA 232-1975.
- o Two-hour fire rated file room that meets the requirements of NFPA 232-1975 with the following additional provisions.
  - An early-warning fire detection and automatic fire suppression capability with electronic supervision at a constantly attended central station.
  - Records storage in fully enclosed metal cabinets.
  - Adequate access and aisle ways.
  - Work that is not associated directly with record storage or retrieval is prohibited in the file room.
  - Smoking, eating, or drinking are prohibited in the file room.
  - Two-hour fire rated dampers or doors in all boundary penetrations.

### 10.2.3 DUAL FACILITIES

If storage at dual facilities for each record is provided, then the facilities are at locations sufficiently remote from each other to eliminate the chance of exposure to a simultaneous hazard. Neither facility is required to satisfy the requirements of Paragraph 10.2.1 or 10.2.2 but meet the other requirements of this document.

## 11.0 RETRIEVAL

### 11.1 PROVISIONS

Storage systems provide for retrieval of information in accordance with planned retrieval times based upon the record type. Final reports contain a listing, by unique number or other designation, that enables prompt retrieval of all documents used to compile or evaluate the report. This listing includes as a minimum, all referenced documents, peer review or other review documents, computer codes, data sheets, procedures, and test plans. All documents referenced by final reports, except readily available references such as encyclopedias, dictionaries, engineers handbook, etc. are retrievable from the Records Management System (RMS).

## 11.2 PERSONNEL

A list is maintained that designates those personnel who have access to the files.

## 11.3 ACCESSIBILITY

Records maintained by the LLNL-YMP at LLNL or other location (on an interim or other basis) is accessible to the DOE Project Office or its designated alternate.

## 12.0 DISPOSITION

### 12.1 ACCESSIBILITY AT VARIOUS LOCATIONS

Records accumulated at various locations, prior to transfer, are accessible to the DOE Project Office either directly or through the LLNL-YMP.

### 12.2 CUSTODIAN

The custodian inventories the submittals, acknowledges receipt, and processes records in accordance with this document or the procedures implementing this document.

### 12.3 REQUIREMENTS OF REGULATORY AGENCIES

Various regulatory agencies have requirements concerning records that are within the scope of this document. The most stringent requirements are used to determine final dispositions.

NUCLEAR WASTE MANAGEMENT PROGRAM

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No.: 033-YMP-R 18

Revision: 0

Date: December 15, 1988

Page: 1 of 5

Subject:

AUDITS

Approved:

FEB 10 1989

Approved by: *A. Allan* 12/19/88  
Date  
Yucca Mountain Project Leader

Approved by: *R. E. Smith* 12/15/88  
Date  
Quality Assurance Manager

## 1.0 GENERAL REQUIREMENTS

All LLNL-YMP activities are subject to planned and scheduled internal and external audits to assure that procedures and activities comply with the overall Quality Assurance (QA) program and to determine their effectiveness. A system of planned, periodic audits to provide an objective evaluation of the quality-related practices, procedures, instructions, activities, and items including the review of documents and records is established to assure that the QA program is effective and properly implemented. The audits are performed in accordance with written procedures using checklists by appropriately trained personnel who do not have direct responsibility for performing the activities being audited. Audit results are documented, reported to, and reviewed by responsible management. Tracking systems are instituted for audit findings to assure that all findings are appropriately addressed and to identify quality trends. All deficiencies, nonconformances, and potential quality problems identified during the audit are documented and monitored until verification of effective corrective action is made. The audited organization describes in a formal report the corrective action taken to address findings, and submits the report to the auditing organization and responsible management.

Follow-up action, including verification of corrective action or reaudit of specific areas, are performed.

### 1.1 PROJECT AUDITS

Internal audits of the LLNL-YMP are conducted by the LLNL-YMP QA Manager. External audits of LLNL-YMP subcontractors are conducted by the LLNL-YMP QA Manager. Audits of the LLNL-YMP may also be conducted by the DOE Project Office.

#### 1.1.1 DOE PROJECT OFFICE AUDITS

The DOE Project Office QA Department develops a schedule defining the DOE Project Office audits planned for each fiscal year. This schedule is approved and issued by the DOE Project Office as an annual planning document. As a minimum the DOE Project Office audits the LLNL-YMP annually. The audits cover the entire scope of the LLNL-YMP QAPP. Additional audits are conducted when a unique need arises or when an audit is requested by the LLNL-YMP. The LLNL-YMP is audited to verify the effectiveness and adequacy of implementation of all elements of the LLNL-YMP QAPP and the DOE Project Office QA Plan.

These audits eliminate the need for LLNL-YMP to conduct audits of other High-level Nuclear Waste Program participating organizations. Representatives of the LLNL-YMP may be invited to participate in a DOE Project Office audit when the audited activities are of mutual interest. Copies of audit documents for the DOE Project Office audits are sent to the audited organization.

### 1.1.2 LLNL-YMP AUDITS

The LLNL-YMP conducts internal (covering the entire LLNL-YMP QAPP, on an annual basis) and direct subcontractor (external) audits of activities under its control. These audits are scheduled, planned, conducted, and reported as described in the LLNL-YMP QAPP. External and internal audit schedules, dates, and changes thereto, are sent to the DOE Project Office Quality Assurance Manager. Audit schedules identify the date of the audit, the activities to be audited, and the requirements to which the activities will be audited.

### 1.2 SCHEDULING

Internal and external QA audits, are scheduled in a manner that provides coverage and coordination with ongoing QA program activities. Audits are scheduled at a frequency commensurate with the status and importance of the activity and are initiated early enough to assure effective QA. The LLNL-YMP performs or arranges for annual evaluations of suppliers. This evaluation is documented and takes into account, where applicable, (1) review of supplier furnished documents and records such as certificates of conformance, nonconformance notices, and corrective actions; (2) results of previous source verifications, audits, and receiving inspections; (3) operating experience of identical or similar products furnished by the same supplier; and (4) results of audits from other sources, e.g., customer, ASME, or NRC audits.

#### 1.2.1 INTERNAL AUDITS

Applicable elements of the LLNL-YMP QAPP are audited at least annually or at least once during the life of the activity, whichever is shorter. The scope of the audit is established by: considering the results of any previous audits, the nature and frequency of identified deficiencies, and any significant changes in personnel, organization, or in the QA program.

#### 1.2.2 EXTERNAL AUDITS

Elements of an external organization's (a subcontractor's) QA program are audited at least annually or once during the life of the activity, whichever is the shorter period, with the following exception: If the activity is less than four months in duration, an audit is not required to be performed unless an audit is necessary due to the complexity or importance of the activity being performed. The justification for not performing audits of vendors whose activities are less than four months in duration is documented and approved by the LLNL-YMP Quality Assurance Manager. A copy of the documented justification is provided to the DOE Project Office Quality Assurance Manager.

#### 1.2.3 JOINT AUDITS

If more than one purchaser buys from a single supplier, a purchaser may either perform or arrange for an audit of the supplier on behalf of itself and other purchasers to reduce the number of external audits of the supplier. The scope of this audit satisfies the needs of all of the purchasers, and the audit

report is distributed to all the purchasers for whom the audit was conducted. Nevertheless, each of the purchasers relying on the results of an audit performed on behalf of several purchasers remains individually responsible for the adequacy of the audit.

### 1.3 PREPARATION

Preparation for an audit includes the items listed below.

#### 1.3.1 AUDIT PLAN

The LLNL-YMP develops and documents an audit plan for each audit. This plan identifies the audit scope, requirements, audit personnel, activities to be audited, organizations to be notified, applicable documents, schedule, and written procedures or checklist.

#### 1.3.2 PERSONNEL

The LLNL-YMP selects and assigns auditors who are independent of any direct responsibility for the performance of the activities that they are to audit. If the audit is to be an internal one, then the personnel who have direct responsibility for performing the activities to be audited are not involved in the selection of the audit team. Audit personnel have sufficient authority and organizational freedom to make the audit process meaningful and effective. Appendix F defines the requirements for the qualification of QA audit personnel.

#### 1.3.3 SELECTION OF AUDIT TEAM

An audit team is identified before the beginning of each audit. This team contains one or more auditors and has an individual qualified as a lead auditor who organizes and directs the audit, coordinates the preparation and issuance of the audit report, and evaluates the responses. The audit team leader identifies the technical specialists, if any, to participate in the audit and includes this information in the audit plan. Audit team members selected to participate in audits for technical purposes have appropriate technical expertise or experience in the work being audited. Multidisciplinary audit teams are employed when activities to be audited involve more than a single technical area. The audit team leader assures that the audit team is prepared before the audit begins.

### 1.4 PERFORMANCE

Audits are performed in accordance with written procedures using checklists as early in the life of the activity as practical and are continued at intervals consistent with the schedule for accomplishing the activity. Elements selected for audit are evaluated against specified requirements including a review of corrective actions taken on deficiencies in the area being audited that were identified during previous audits. Objective evidence is examined to the depth necessary to determine if these elements are adequate for effective control and to determine whether or not they are being implemented effectively. The audit results are documented by audit personnel and are reviewed by management having responsibility for the area audited. Conditions that require prompt corrective action are reported immediately to the management of the audited organization. Audit findings are reviewed with the audited organizations at a closing meeting.

## 1.5 REPORTING

The audit report is signed by the audit team leader and issued within 30 calendar days. This report includes the following information, as appropriate:

- o Description of the audit scope.
- o Identification of the auditors.
- o Identification of persons contacted during audit activities.
- o Summary of audit results, including a statement of the effectiveness of the QA program elements that were audited.
- o Description of each reported adverse audit finding in sufficient detail to enable corrective action to be taken by the audited organization.

## 1.6 RESPONSE

Management of the audited organization or activity investigate adverse audit findings; determine root cause; schedule corrective action, including measures to prevent recurrence; and, within thirty calendar days of receipt of the audit report, notify the appropriate organizations in writing of action taken or planned. The adequacy of audit responses are evaluated by or for the auditing organization.

## 1.7 FOLLOW-UP ACTION

Follow-up action is taken to determine whether or not corrective action has been accomplished as scheduled and is verified by the auditing organization. An analysis of audit results is performed by the QA organization to identify quality trends. The results of the analysis are reported to responsible management for review, assessment, and appropriate action.

## 1.8 RECORDS

### 1.8.1 AUDITS

As a minimum, audit records include the following:

- o Identification of the organization(s), activities, or items audited and the individual(s) contacted during the audit(s).
- o Description of any deficiencies, nonconformances, and potential quality problems identified.
- o Audit plans, audit reports, written replies, and the record of completion of corrective action, and close-out of the audit.

### 1.8.2 PERSONNEL RECORDS

Records of personnel qualifications for Auditors and Lead Auditors performing audits are established and maintained by the LLNL-YMP. Records for each Lead Auditor are maintained and updated annually.



No.:	Revision:	Date:	Page:
033-YMP-R 18	0	December 15, 1988	5 of 5

## 2.0 SURVEILLANCES

The LLNL-YMP audit program is supplemented by independent surveillance activities. The purpose of a surveillance is to monitor or observe items or activities to verify conformance to specified requirements. These surveillances are conducted by the LLNL-YMP and are scheduled or implemented on a random basis.

Measures for the surveillance of site investigation activities are established and executed in accordance with procedures prepared by the LLNL-YMP. Surveillances are scheduled and conducted based on the activity's relative impact or importance, or both, to the LLNL-YMP. All deficiencies, nonconformances, and potential quality problems identified during surveillances are documented and monitored until verification of effective corrective action is made. Specific requirements applicable to surveillance activities are as follows:

### 2.1 PLANNING

Surveillances are performed to written checklists or surveillance plans whenever practical. The documentation identifies characteristics, methods, and acceptance criteria, provides for recording objective evidence of results, and accuracy of the equipment necessary to perform surveillance. The specification of acceptance criteria related to surveillances may be as simple as "to verify proper implementation of procedures" or "to verify conformance to requirements."

### 2.2 REPORTING INDEPENDENCE

Surveillance personnel do not report directly to the immediate supervisors who are responsible for the work being surveilled.

### 2.3 RECORDS

As a minimum, surveillance records identify the following:

- o Item or activity.
- o Date of surveillance.
- o Name of individual performing the surveillance.
- o Identification of the organization(s), activities, or items surveilled, including the name or names of personnel contacted.
- o Description of any deficiencies, nonconformances, and potential quality problems identified during the surveillance. Nonconformances are handled in accordance with the requirements of 033-YMP-R 15 or R 16, as applicable.
- o Surveillance criteria.
- o Equipment used during the surveillance.
- o Results.
- o Acceptance statement.

CHANGE NOTICE

**APPROVED FOR  
INTERIM USE**

CN No.: R Appendix A-0-1

Affected Document: 033-YMP-R Appendix A, Rev.0

Prepared by: Raymond E. Hamati

Approved by: N/A

(Technical Area Leader)

(Date)

Approved by: RK Damm 2-7-91

(YMP QA Manager)

(Date)

Training Required:  
Yes  No

Approved by: Philip Perdue 2/19/91

(YMP Project Leader)

(Date)

Currently Read as Follows:

1. Page 1, Definition of "ACTIVITIES THAT AFFECT QUALITY": As published
2. Page 1, Definition of "ACTIVITY ": As published
3. Page 7, Definition of "PRIMARY DATA"  
First sentence: As published
4. Page 9, Definitions of "QUALITY ASSURANCE LEVEL I", "QUALITY ASSURANCE LEVEL II", and "QUALITY ASSURANCE LEVEL III": as published

CHANGED TO READ:

1. Page 1, Definition of "ACTIVITIES THAT AFFECT QUALITY": Delete  
Replace with: "QUALITY-AFFECTING ACTIVITIES AND ITEMS: Activities and items which are intended for use in relation to radiological health and safety or waste isolation, and which, when controlled by conformance to a set of requirements, result in services and products that are fit for their intended use."
2. Page 1, Definition of "ACTIVITY": Delete  
Replace with: "ACTIVITY: Any work including, but not limited to, procurements, scientific investigations, or designs that is directed toward the achievement of the objectives stated in the WBS Dictionary."
3. Page 7, Definition of "PRIMARY DATA"  
First sentence: Delete "Level I"
4. Page 9, Definitions of "QUALITY ASSURANCE LEVEL I", "QUALITY ASSURANCE LEVEL II" and "QUALITY ASSURANCE LEVEL III": Deleted

NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

No.: 033-YMP-R Appendix A  
Revision: 0  
Date: December 15, 1988  
Page: 1 of 12

Subject:

APPENDIX A - "TERMS AND DEFINITIONS"

Approved:

FEB 10 1989

Approved by: [Signature] 12/20/88 Date  
Yucca Mountain Project Leader

Approved by: [Signature] 12/16/88 Date  
Quality Assurance Manager

**ACCEPTANCE CRITERIA:** Specified limits defined in codes, standards, or other requirement documents placed on characteristics of an item, process, or service.

**ACCESSIBLE ENVIRONMENT:** (1) the atmosphere; (2) the land surface; (3) surface water; (4) oceans; and (5) the portion of the lithosphere that is outside the controlled areas.

**ACTIVITIES THAT AFFECT QUALITY:** Deeds, actions, work, or performance of a specific function or task. The LLNL-YMP QAPP applies to activities affecting the quality of all systems, structures, and components important to safety, and to the design and characterization of barriers important to waste isolation. These activities include: site characterization, facility and equipment construction, facility operation, performance confirmation, permanent closure, and decontamination and dismantling of surface facilities as they relate to items important to safety and barriers important to waste isolation. The QA Level I requirements of this QAPP apply to all activities affecting the quality of structures, systems, and components important to safety and engineered barriers important to waste isolation. These activities include: designing (including such activities as safety analyses, laboratory testing of waste package materials to characterize their performance, and performance assessments), purchasing, fabricating, handling, shipping, storing, cleaning, erecting, installing, inspecting, testing, operating, maintaining, repairing, and modifying. These types of activities do not need to be identified as part of the Q-list nor do they require QA level assignment. However, activities related to natural barriers important to waste isolation are identified and listed on a Q-list. These activities include: performance assessments, site characterization testing, and activities that may impact the waste isolation capability of the natural barrier. Examples are site characterization activities such as exploratory shaft construction, borehole drilling, and other activities that could physically or chemically alter properties of the natural barriers in an adverse way.

**ACTIVITY:** Any time consuming effort (operation, task, function, or service) which influences or affects the achievement or verification of the objectives of the DOE Project Office as depicted in the WBS Dictionary.

No.:	Revision:	Date:	Page:
033-YMP-R Appendix A	0	December 15, 1988	2 of 12

**AP - ADMINISTRATIVE PROCEDURE:** An Administrative Procedure (AP) is a procedure that implements a set of requirements of LLNL-YMP's Project Management Plan. An AP is applicable to all LLNL-YMP Personnel.

**AUDIT:** A planned and documented activity performed to determine by investigation, examination, or evaluation of objective evidence the adequacy of and compliance with established procedures, codes, standards, instructions, drawings, and other applicable requirements, and the effectiveness of implementation. An audit should not be confused with surveillance or inspection activities performed for the sole purpose of process control or product acceptance.

**AUTHENTICATION (QA RECORDS):** Authentication is the act of attesting that the information contained within a document is accurate, complete, and appropriate to the work accomplished. Authentication is accomplished by one of the following methods: (1) a stamped, initialed, or signed, and dated document; (2) a statement by the responsible individual or organization; or (3) issuing a document which is clearly identified as a statement by the reporting individual or organization. A document cannot become a Quality Assurance (QA) record until it has been authenticated.

**AUXILIARY SOFTWARE:** (1) Software that may be easily and exactly verified, and that performs a simple function such as conversion of units, change in data format, or plotting of data in support of primary analysis software. (2) A stream of commands or sequence of streams of commands executed to utilize system maintained software in which the system maintained software generates reportable results. Auxiliary software does not generate primary data.

**BARRIER:** Any material or structure that prevents or substantially delays the movements of water or radionuclides.

**BASELINE:** As used for computer software: (1) The stage of computer software at a completed and reviewed phase of the software lifecycle; (2) Approved documentation generated within or as a result of completing a phase of the software life cycle.

**CERTIFICATE OF CONFORMANCE:** A document signed by an authorized individual that certifies the degree to which items or services meet specified requirements.

**CERTIFICATION:** The act of determining, verifying, and attesting in writing to the qualifications of personnel, processes, procedures, or items in accordance with specified requirements.

**CHARACTERISTIC:** Any property or attribute of an item, process, or service that is distinct, describable, and measurable.

**COMMERCIAL GRADE ITEM:** An item satisfying all of the following requirements:

- 1) The item is not subject to design or specification requirements that are unique to Mined Geologic Disposal Systems;
- 2) The item is to be ordered from the manufacturer/supplier on the basis of specifications set forth in the manufacturer's published product description, i.e., catalog.
- 3) The item is used in applications other than Mined Geologic Disposal Systems.

**COMPUTER MODEL VALIDATION:** Assurance that a model as embodied in a computer code is a correct representation of the process or system for which it is intended (NUREG-0856). Usually accomplished by comparing code results to (1) physical data, or (2) a verified or validated code designed to perform the same type of analysis (e.g., benchmarking with a validated code). Peer review may be used for code validation if it is the only available means for validating a code.

**COMPUTER CODE VERIFICATION:** Assurance that a computer code correctly performs the operations specified in a numerical model (NUREG-0856). Usually accomplished by comparing code results to (1) a hand calculation, (2) an analytical solution or approximation, or (3) a verified code designed to perform the same type of analysis (benchmarking).

**CONDITION ADVERSE TO QUALITY:** An all-inclusive term used in reference to any of the following: failures, malfunctions, deficiencies, defective items, and nonconformances. A significant condition adverse to quality is one which, if not corrected, could have a serious effect on safety or operability.

**CONFIGURATION MANAGEMENT:** As used for computer software: (1) A system for orderly control of software, including methods used for labeling, changing, and storing software and its associated documentation. (2) The systematic evaluation, coordination, approval or disapproval, and implementation of all approved changes in an item of software after establishment of its configuration.

**CONSEQUENCE ANALYSIS:** A method by which the consequences of an event are calculated and expressed in some quantitative way, e.g., money loss, deaths, or quantities of radionuclides released to the accessible environment.

**CONTAINMENT:** The confinement of radioactive waste within a designated boundary.

**CONTAINMENT, PERIOD OF:** Known as the period during the first several hundred years following permanent closure of the geologic repository in which radiation and thermal levels are high and the uncertainties of assuring repository performance are great. During this time, special emphasis is placed upon the ability to contain the wastes by waste packages within an engineered barrier system.

**CONTRACTOR:** An organization under contract to provide supplies, construction, or services.

**CONTROLLED AREA:** The surface location, which is to be marked by suitable monuments, that extend horizontally no more than 5 kilometers in any direction from the outer boundary of the underground facility and the underlying subsurface, which is an area that has been committed to use as a geologic repository and from which incompatible activities would be restricted following permanent closure. The controlled area is also known as the site.

**CONVERSION REPORT:** A written description of all modifications made to the original code or an externally available existing code after it is acquired.

**CORRECTIVE ACTION:** Measures taken to rectify conditions that are adverse to quality and, where necessary, to preclude repetition.

No.: 033-YMP-R Appendix A	Revision: 0	Date: December 15, 1988	Page: 4 of 12
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**CORROBORATIVE DATA:** Existing data used to support or substantiate other existing data.

**CREDIBLE EVENT OR CREDIBLE ACCIDENT:** An event or accident scenario which needs to be considered in the design of a geologic repository.

**DESIGN:** The act of developing designs for construction or of analyzing the performance or repository engineered structures, systems, components, and natural barriers. Design documentation includes, but is not limited to, drawings, specifications, test plans, design reports, test reports, system design descriptions, configuration status listings, design manuals, and manuals describing computer programs used for design or performance analysis.

**DESIGN INPUT:** Those criteria, parameters, bases, or other design requirements upon which the detailed final design is based.

**DESIGN OUTPUT:** Documents, such as drawings, specifications, and others that define technical requirements of structures, systems, and components.

**DESIGN PROCESS:** Technical and management processes that commence with identification of design input and that lead to and include the issuance of design output documents.

**DEVIATION:** A departure from specified requirements.

**DISPOSITION:** The action taken to resolve a nonconforming condition and to restore acceptable conditions.

**DOCUMENT:** Any written or pictorial information describing, defining, specifying, reporting, or certifying activities, requirements, procedures, or results. A document is not considered to be a Quality Assurance Record until it satisfies the definition of a Quality Assurance Record as defined in this Appendix.

**DOE:** The U.S. Department of Energy or its duly authorized representatives.

**ENGINEERED BARRIER SYSTEM:** The waste package and the underground facility.

**ENGINEERED ITEM:** Any structure, system, or component identified in design documents as being a functional part of the completed facility.

**EXISTING DATA:** Data developed prior to the implementation of a 10 CFR 60, Subpart G QA program by DOE and its contractors, or data developed outside the DOE repository program, such as by oil companies, national laboratories, universities, or data published in technical or scientific publications. Existing data does not include information which is accepted by the scientific and engineering community as established facts (e.g., engineering handbooks, density tables, gravitational laws, etc.).

**EXTERNAL AUDIT:** An audit of those portions of another organization's QA program that is neither under the direct control nor within the organizational structure for the auditing organization.

**FINAL DESIGN:** Approved design output documents and approved changes thereto.

**FUNCTIONAL CHARACTERISTICS:** Those attributes of a repository or its structures, systems, and components that determine its performance with respect to safety, reliability, operability, and other design criteria established in the OGR Program or other Federal regulatory documents.

**GEOLOGIC REPOSITORY:** A system that is either intended to be used for or may be used for the disposal of radioactive wastes in excavated geologic media. A geologic repository includes the geologic repository operations area and the portion of the geologic setting that provides isolation of the radioactive waste.

**GEOLOGIC REPOSITORY OPERATIONS AREA:** A high-level radioactive waste facility that is part of a geologic repository, including both surface and subsurface areas, in which waste handling activities are conducted.

**IMPORTANT TO SAFETY:** As it applies to structures, systems, and components, those engineered structures, systems, and components that are essential to the prevention or mitigation of an accident that could result in a radiation dose to the whole body, or any organ, of 0.5 rem or greater at or beyond the nearest boundary of the unrestricted area at any time until the completion of permanent closure.

**IMPORTANT TO WASTE ISOLATION:** The barriers that must meet the criteria that address long-term performance of the engineered and natural barriers to prevent the release of radionuclides from the site to the accessible environment, (i.e. for achieving the postclosure performance objectives in 10CFR60, Subpart E).

**INDOCTRINATION:** Instruction provided to personnel for familiarization with programmatic and work-oriented documents applicable to the assigned activity.

**INSPECTOR:** A person who performs inspection activities to verify whether or not an item or activity conforms to specified requirements.

**INSPECTION:** Examination of measurement to verify whether an item or activity conforms to specified requirements.

**INTERNAL AUDIT:** An audit of those portions of an organization's QA program that is retained under its direct control and within its organizational structure.

**ISOLATION:** Inhibiting the transport of radioactive materials so that amounts and concentrations of this material entering the accessible environment will be kept within prescribed limits.

**ITEM:** An all-inclusive term that is used in place of any of the following: appurtenance, assembly, component, equipment, material, module, part, structure, subassembly, subsystem, system, unit, and prototype hardware. This term includes magnetic media, and other materials that retain or support data.

**LIFETIME RECORDS:** Quality Assurance Records that furnish evidence of the quality and completeness of data, items, and activities affecting quality. All LLNL-YMP QA Records are classified as Lifetime Records.

**MATERIAL:** A term that includes items plus any hardware or geologic samples either used in or resulting from research and development or site investigations on the LLNL-YMP. Hardware and geologic specimens include but are not limited to test apparatus or equipment, special nuclear material cores, geologic samples, water and gas samples, etc.

No.:	Revision:	Date:	Page:
033-YMP-R Appendix A	0	December 15, 1988	6 of 12

**MEASURING AND TEST EQUIPMENT:** Devices or systems used to calibrate, measure, gage, test, or inspect, in order to control or to acquire data to verify conformance to a specified requirement, or to establish characteristics or values not previously known.

**NONCONFORMANCE:** A deficiency in characteristics, documentation, or procedure that renders the quality of an item or activity unacceptable or indeterminate.

**NON-MECHANISTIC FAILURES:** Postulated failures which are not based on previously observed models or mechanisms but which are assumed to provide conservatism in safety assessments.

**NTS:** Nevada Test Site

**NTS SUPPORT CONTRACTOR:** Organizations that are directly under contract to DOE/NV for activities at the NTS and other locations.

**OBJECTIVE EVIDENCE:** Any documented statement of fact, other information, or record, either quantitative or qualitative, that pertains to the quality of an item or activity, based on observations, measurements, or tests that can be verified.

**OPERATIONS, PERIOD OF:** Includes the time during which emplacement of wastes occurs; any subsequent period before permanent closure during which the emplaced wastes are retrievable; and permanent closure, which includes sealing of shafts.

**OVERVIEW:** An analysis and assessment by management of the scope, status, adequacy and effectiveness of Program quality achievement and assurance activities. Overview encompasses effectiveness assessments, technical reviews, readiness reviews, audits, and surveillances, as appropriate.

**OWNER:** The person, group, company, agency, or corporation that has or will have title to the repository.

**PARTICIPATING ORGANIZATION:** This term applies to the following: (1) the government agencies external to the DOE, (2) national laboratories, and (3) organizations participating directly in High-level Nuclear Waste Program activities.

**PEER:** A peer is a person having technical expertise in the subject matter to be reviewed (or a critical subset of the subject matter to be reviewed) to a degree at least equivalent to that needed for the original work.

**PEER REVIEW:** A documented, critical review performed by peers who are independent of the work being reviewed. The peer's independence from the work being reviewed means that the peer (a) was not involved as a participant, supervisor, technical reviewer, or advisor in the work being performed, and (b) to the extent practical, has sufficient freedom from funding considerations to assure the work is impartially reviewed.

A peer review is an in-depth critique of assumptions, calculations, extrapolations, alternate interpretations, methodology, and acceptance criteria employed, and of conclusions drawn in the original work. Peer reviews confirm the adequacy of work. In contrast to peer review, the term "technical review" refers to a review to verify compliance to predetermined requirements; industry standards; or common scientific, engineering, and industry practice.



No.:	Revision:	Date:	Page:
033-YMP-R Appendix A	0	December 15, 1988	7 of 12

**PEER REVIEW GROUP:** A peer review group is an assembly of peers representing an appropriate spectrum of knowledge and experience in the subject matter to be reviewed and should vary in size based on the subject matter and importance of the subject matter to safety or waste isolation.

**PEER REVIEW REPORT:** A documented in-depth report of the proceeding and findings of a peer review.

**PERFORMANCE ALLOCATION:** This term applies to the process of deriving subsystem and component performance goals from performance objectives. A systematic process of assigning confidence levels with their desired, associated performance goals for the mined geologic disposal systems, subsystems, and components.

**PERFORMANCE ASSESSMENT:** The process of quantitatively evaluating component and system behavior, relative to containment and isolation of radioactive waste, to determine compliance with the numerical criteria associated with 10 CFR Part 60.

**PERMANENT CLOSURE:** The sealing of shafts and boreholes. Permanent closure represents the end of active human intervention with respect to the engineered barrier system.

**PERFORMANCE CONFIRMATION:** The program of tests, experiments, and analyses that is conducted to evaluate the accuracy and adequacy of the information used to determine with reasonable assurance that the performance objectives for the period after permanent closure will be met.

**PRINCIPAL INVESTIGATOR (PI):** The individual who has the technical responsibility for a particular technical task. This responsibility includes, but is not limited to, planning and cost control, the day-to-day technical direction and control of the item or activity, and the assembly of a support team to accomplish the item or activity. This term may be synonymous with task leader or project engineer.

**PROCEDURE:** A document that specifies or describes the way in which an activity is to be performed.

**PRIMARY DATA:** Information that can be shown to have been acquired and controlled in a manner consistent with all applicable Quality Assurance Level I requirements and is necessary for the resolution of the NRC performance objectives of 10CFR60 in accordance with the DOE Project Office Issues Resolution Strategy. This includes information that has been qualified and accepted in accordance with YMP Project AP 5.9Q, "Acceptance of Data and Data Interpretations not Developed Under the YMP Project QA Program."

**PROCUREMENT DOCUMENT:** Purchase requisitions, purchase orders, letters of intent, work authorization letters, drawings, contracts, specifications, instructions, or any document that provides a means by which to acquire possession or ownership of items, or right to the use of services by payment.

**PURCHASER:** The organization responsible for the establishment of procurement requirements and for the issuance or administration, or both, of procurement documents.

**Q-LIST:** A list of geologic repository engineered structures, systems, and components that have been determined to be important to safety, and engineered barriers important to waste isolation that must be covered under the QA requirements of 10 CFR 60, Subpart G.

**QUALIFICATION (of DATA):** A formal process intended to provide a desired level of confidence that data are suitable for their intended use.

**QUALIFICATION (PERSONNEL):** The characteristics or abilities that are gained through education, training, or experience, which are measured against established requirements, such as standards or tests, that qualify an individual to perform a required function.

**QUALIFICATION TESTING:** Demonstration that an item meets design requirements

**QUALIFIED DATA:** Data initially collected under a 10CFR60, Subpart G quality assurance program or existing data qualified in accordance with Appendix G of this QAPP.

**QUALIFIED PROCEDURE:** An approved procedure that has been demonstrated to meet the specified requirements for its intended purpose.

**QUALITY ACTIVITIES LIST:** A list of those major activities conducted during site characterization, construction, operation, or closure that relate to natural barriers important to waste isolation. These activities, which must be covered under the 10 CFR 60, Subpart G Quality Assurance program, include data gathering, performance assessments, and those activities that could affect a natural barrier's ability to isolate waste.

**QUALITY ASSURANCE:** All those planned and systematic actions that are necessary to provide adequate confidence that the geologic repository and its subsystems or subcomponents will perform satisfactorily in service. Quality Assurance includes quality control, which comprises those quality assurance actions related to the physical characteristics of a material, structure, component, or system that provide a means by which to control the quality of the material, structure, component, or system to predetermined requirements.

**QUALITY ASSURANCE RECORD:** An individual document or other item that has been executed, completed, and approved and that furnishes evidence of (1) the quality and completeness of data (including raw data), items, and activities affecting quality; (2) documents prepared and maintained to demonstrate implementation of Quality Assurance programs (e.g., audit, surveillance, and inspection reports); (3) procurement documents; (4) other documents such as plans, correspondence, documentation of telecons, specification, technical data, books, maps, papers, photographs, and data sheets; (5) items such as magnetic media; and (6) other materials that provide data and document quality regardless of the physical form or characteristic.

A completed record is a document or item (and documentation) that will receive no more entries, whose revisions would normally consist of a reissue of the document (or documentation), and that is signed and dated by the originator and, as applicable, by approval personnel.

**QUALITY ASSURANCE LEVEL I:** Those radiological health and safety related items and activities that are important to either safety or waste isolation and that are associated with the ability of a geologic nuclear waste repository to function in a manner that prevents or mitigates the consequences of a process or event that could cause undue risk to the radiological health and safety of the public. Items and activities important to safety are those engineered structures, systems, components, and related activities essential to the prevention or mitigation of an accident that could result in a radiation dose either to the whole body or to any organ of 0.5 rem or greater either at or beyond the nearest boundary of the unrestricted area at any time until the completion of the permanent closure of the repository. Items and activities important to waste isolation are those barriers and related activities which must meet the criteria that address post-closure performance of the engineered and natural barriers to inhibit the release of radionuclides. The criteria for items or activities important to safety and waste isolation are found in 10CFR60, and 40CFR191.

**QUALITY ASSURANCE LEVEL II:** Those activities and items related to the systems, structures, and components which require a level of quality assurance sufficient to provide for reliability, maintainability, public and repository worker nonradiological health and safety, repository worker radiological health and safety and other operational factors that would have an impact on DOE and DOE Project Office concerns, and the environment.

**QUALITY ASSURANCE LEVEL III:** Those activities and items not classified as QA Levels I or II.

**QUALITY ASSURANCE PROGRAM PLAN (QAPP):** The document that describes the organization's Quality Assurance Program, the applicable QA requirements, and the instructions to implement and apply the QA requirements to activities.

**QUALITY PROCEDURE (QP):** A Quality Procedure (QP) is a procedure that implements a set of requirements contained in the QAPP or a set of requirements contained in the NNWSI quality related Administrative Procedures. A QP is applicable to all LLNL-YMP Personnel.

**RADIOACTIVE WASTE:** High-Level Waste (HLW) and other radioactive materials that are received for emplacement in a geologic repository.

**READINESS REVIEW:** An independent, systematic documented review to determine and inform management of the readiness to advance from one phase, process, or activity into another. Readiness Reviews are used to coordinate many elements and provide attention to detail, to assure that the project is ready to proceed to the comprehensive review of a total project or a particular segment of the project.

**RECEIVING:** Taking delivery of an item at a designated location.

**RELIABILITY ANALYSIS:** An analysis that estimates the reliability of a system or component.

**REPAIR:** The process of restoring a nonconforming characteristic to a condition such that the capability of an item to function reliably and safely is unimpaired, even though that item still does not conform to the original requirement.

No.:	Revision:	Date:	Page:
033-YMP-R Appendix A	0	December 15, 1988	10 of 12

**REPOSITORY:** See Geologic Repository Operations Area.

**RETRIEVAL:** The act of intentionally removing radioactive waste from the underground location at which the waste had been emplaced previously for disposal.

**REWORK:** The process by which a nonconforming item or activity is made to conform to the original requirements by completion or correction utilizing existing approved procedures.

**RIGHT OF ACCESS:** The right of a purchaser or designated representative to enter the premises of a Supplier for the purpose of inspection, surveillance, or Quality Assurance audit.

**SCENARIO:** An account or sequence of a projected course of action or event.

**SCIENTIFIC INVESTIGATION:** Any research, experiment, test, study, or activity that is performed for the purpose of investigating the natural barriers or the man-made aspects of the geologic repository, including the overall design of the facilities and the waste package. This will include, but will not be restricted to, all geologic, tectonic, seismologic, hydrologic, climatologic, geochemical, chemical, geophysical, physical, geomechanical, mechanical, meteorological, metallurgical, environmental, socioeconomic, and transportation studies of activities which are performed for, or in support of, the investigation, exploration, site characterization, development of design bases, licensing, construction, operation, monitoring, performance evaluation and/or closure of the geologic repository.

**SCIENTIFIC NOTEBOOK:** A document which may be used to provide a written record of the results of scientific investigations and experiments when the work involves a high degree of professional judgment or trial and error methods, or both. These notebooks may be used in lieu of a technical procedure.

**SERVICE:** The performance of activities that include but are not limited to site characterization, design, fabrication, investigation, inspection, nondestructive examination, repair, or installation.

**SITE:** Location of the controlled area.

**SITE CHARACTERIZATION:** The program of exploration and research both in the laboratory and in the field that is undertaken to establish the geologic conditions and the ranges of parameters of a particular site that are relevant to the procedures under 10 CFR Part 60. Site characterization includes borings, surface excavations, excavation or exploratory shafts, limited subsurface lateral excavations and borings, and in situ testing at depth as needed to determine the suitability of the site for a geologic repository. It does not include preliminary borings and geophysical testing needed to decide whether or not site characterization should be undertaken.

**SPECIAL PROCESS:** A process, the results of which are highly dependent on the control of the process or the skill of the operators, or both, and in which the specified quality cannot be readily determined by inspection or test of the product.

**SUPPLIER:** Any individual or organization under contract to provide items or services to the DOE Project Office, LLNL-YMP, or to other High-level Nuclear Waste Program participating organizations for support of project activities.

**SURVEILLANCE:** The act of monitoring or observing to verify whether or not an item or activity conforms to specified requirements.

**TECHNICAL PROJECT OFFICER (TPO):** The individual within each DOE Project Office's participating organization who has been assigned overall responsibility for the organization's scope of work as detailed in the Work Breakdown Structure (WBS) Dictionary.

**TECHNICAL REVIEW:** A documented traceable review performed by qualified personnel who are independent of those who performed the work but who have technical expertise at least equivalent to those who performed the original work. Technical reviews are in-depth, critical reviews, analyses and evaluation of documents, material or data that require technical verification and/or validation for applicability, correctness, adequacy and completeness.

**TESTING:** An element of verification that is used to determine the capability of an item to meet specified requirements by subjecting the item to a set of physical, chemical, environmental, or operating conditions.

**TRACEABILITY:** The ability to trace the history, application, or location of an item and like items or activities by means of recorded identification.

**TRAINING:** In-depth instruction provided to personnel to develop and demonstrate initial proficiency in the application of selected requirements, methods, and procedures, and to adapt to changes in technology, methods, or job responsibilities.

**UNDERGROUND FACILITY:** The underground structure, including openings and backfill materials, but excluding shafts, boreholes, and their seals.

**UNRESTRICTED AREA:** Any area, access to which is not controlled for purposes of protection of individuals from exposure to radiation and radioactive materials, and any area used for residential quarters.

**USE-AS-IS:** A disposition that is permitted for a nonconforming item or service when it can be established that the item is satisfactory for its intended use.

**VALIDATION (QA RECORDS):** Validation is the act of reviewing a document or document package to ensure it is complete, authenticated, reproducible, and microfilmable.

**VERIFICATION:** The act of reviewing, inspecting, testing, checking, auditing, or otherwise determining and documenting whether or not items, processes, services, or documents conform to specified requirements.

**WAIVER:** Documented authorization to depart from specified requirements.

**YMP PROJECT PARTICIPANTS:** An all inclusive term used to describe (generically) the various organizations involved in the YMP Project. This term includes the YMPO, Participating Organizations, and NTS Support Contractors. These organizations are required to have a YMPO approved Quality Assurance Program Plan (QAPP) for the conduct of their activities.

No.: 033-YMP-R Appendix A	Revision: 0	Date: December 15, 1988	Page: 12 of 12
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**YMP PROJECT PERSONNEL:** All U.S. Department of Energy Participating Organizations, and NTS Support Contractor personnel involved in YMP Project activities.

**YMP PROJECT QUALITY ASSURANCE PLAN (QAP):** The document that describes the planned, systematic quality assurance requirements that are applicable to the YMP Project.

**YMP WORK BREAKDOWN STRUCTURE (WBS) DICTIONARY:** A controlled document which establishes a product oriented framework for organizing and defining work to be accomplished.

**YUCCA MOUNTAIN PROJECT OFFICE (YMPO):** The organization to which the U.S. Department of Energy, Nevada Operations Office (DOE/NV), has assigned the responsibility of administering and coordinating the activities of various Participating Organizations and NTS Support Contractors.

**WASTE PACKAGE:** The waste form and any containers, shielding, packing, and other absorbent materials immediately surrounding an individual waste container.

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

No.: 033-YMP-R Appendix B

Revision: 0

Date: December 15, 1988

Page: 1 of 3

Subject:

Appendix B - "DESIGN INPUTS"

Approved: FEB 10 1988

Approved by:

*R. J. Sellen* 12/20/88  
Date

Yucca Mountain Project Leader

Approved by:

*R. M. E. Smith* 12/16/88  
Date

Quality Assurance Manager

Design inputs include many characteristics and functions of an item or system. These inputs vary depending on the application; however, it is desirable to consider at least the following listed inputs as they apply to specific items or systems of the repository:

1. Basic functions of each structure, system, and component.
2. Performance requirements such as capacity rating and system output.
3. Codes, standards, and regulatory requirements including the applicable issue, agenda, or both.
4. Design conditions such as pressure, temperature, fluid chemistry, and voltage.
5. Loads such as seismic, wind, thermal, and dynamic.
6. Environmental conditions anticipated during storage, construction, and operation such as pressure, temperature, humidity, corrosiveness, site elevation, wind direction, nuclear radiation, electromagnetic radiation, and duration of exposure.
7. Interface requirements including definition of the functional and physical interfaces involving structures, systems, and components.
8. Material requirements including such items as compatibility, electrical insulation properties, protective coating, and corrosion resistance.
9. Mechanical requirements such as vibration, stress, shock, and reaction forces.
10. Structural requirements covering such items as equipment foundations and pipe supports.

No.: 033-YMP-R Appendix B	Revision: 0	Date: December 15, 1988	Page: 2 of 3
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11. Hydraulic requirements such as pump net positive suction heads (NPSH), allowable pressure drops, and allowable fluid velocities.
12. Chemistry requirements such as provisions for sampling and limitations on water chemistry.
13. Electrical requirements such as source of power, voltage, raceway requirements, electrical insulation, and motor requirements.
14. Layout and arrangement requirements.
15. Operational requirements under various conditions such as repository startup, normal repository operation, repository emergency operation, special or infrequent operation, system abnormal or emergency operation, repository decontamination, decommissioning, and dismantling.
16. Instrumentation and control requirements including indicating instruments, controls, and alarms required for operation, testing, and maintenance. Other requirements such as the type of instrument, installed spares, range of measurement, and location of indication are included.
17. Access and administrative control requirements for repository security.
18. Redundancy, diversity, and separation requirements of structures, systems, and components.
19. Failure effects requirements of structures, systems, and components including a definition of those events and accidents that they must be designed to withstand.
20. Test requirements including pre-operational and subsequent periodic in-service tests and the conditions under which they will be performed.
21. Accessibility, maintenance, repair, and in-service inspection requirements for the repository including the conditions under which these will be performed.
22. Personnel requirements and limitations including the qualification and number of personnel available for repository operation, maintenance, testing, and inspection, and radiation exposures to the public and repository personnel.
23. Transportability requirements such as size and shipping weight, limitation, and Interstate Commerce Commission regulations.
24. Fire protection or resistance requirements.
25. Handling, storage, cleaning, and shipping requirements.
26. Other requirements to prevent undue risk to the health and safety of the public.
27. Materials, processes, parts, and equipment suitable for application.



No.:	Revision:	Date:	Page:
033-YMP-R Appendix B	0	December 15, 1988	3 of 3

28. Safety requirements for preventing injury to personnel including such items as radiation safety that restrict the use of dangerous materials, escape provisions from enclosures, and grounding of electrical systems.
29. Quality control and Quality Assurance requirements.
30. Reliability requirements of structures, systems, and components, including their interactions, which may impair functions that are important to safety.
31. Interface requirements between repository equipment and operation and maintenance personnel.
32. Requirements for criticality control and accountability of nuclear materials.

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

No.: 033-YMP-R Appendix C  
Revision: 0  
Date: December 15, 1988  
Page: 1 of 4

Subject:

APPENDIX C - "REQUIREMENTS FOR THE QUALIFICATION  
OF INSPECTION AND TEST PERSONNEL"

Approved: FEB 10 1989

Approved by: *J. Fallon* <sup>12/20/88</sup> Date  
Yucca Mountain Project Leader

Approved by: *R. H. E. Smith* <sup>12/16/88</sup> Date  
Quality Assurance Manager

## 1.0 GENERAL

The following are the requirements for the qualification of personnel who perform inspection and testing to verify conformance to specified requirements for the purpose of acceptability. The requirements for the qualification of personnel performing nondestructive examination are specified in Appendix D.

## 2.0 FUNCTIONAL QUALIFICATIONS

Three levels of qualification are utilized depending on the complexity of the functions involved. The requirements for each level are not limiting with regard to organizational position or professional status but, rather, are limiting with regard to functional activities.

### 2.1 LEVEL I PERSONNEL CAPABILITIES

A Level I person is capable of performing and documenting the results of inspections or tests that are required to be performed in accordance with documented procedures, acceptance standards, and/or industry practices as defined in user's written procedures.

### 2.2 LEVEL II PERSONNEL CAPABILITIES

A Level II person has all of the capabilities of a Level I person for the inspection or test category or class in question. Additionally, a Level II person has demonstrated capabilities in planning inspections and tests; in setting up tests, including preparation and setup of related equipment, as appropriate; in supervising and certifying lower level personnel; and in evaluating the validity and acceptability of inspection and test results.

No.:	Revision:	Date:	Page:
033-YMP-R Appendix C	0	December 15, 1988	2 of 4

### 2.3 LEVEL III PERSONNEL CAPABILITIES

A Level III person has all of the capabilities of a Level II person for the inspection, test category or class in question. In addition, the individual is capable of evaluating the adequacy of specific programs used to train and certify inspection and test personnel whose qualifications are covered by this section.

### 3.0 EDUCATION AND EXPERIENCE QUALIFICATIONS

These education and experience requirements are considered with recognition that other factors commensurate with the scope, complexity, or special nature of the inspection or test activity provide reasonable assurance that a person can competently perform a particular task. Other factors which demonstrate capability in a given job are previous performance or satisfactory completion of capability testing. These factors and the basis for their equivalency are documented.

#### 3.1 LEVEL I EDUCATION AND EXPERIENCE REQUIREMENTS

- o Two years of related experience in equivalent inspection or testing activities; or
- o High school graduation and six months of related experience in equivalent inspection or testing activities; or
- o Completion of college level work leading to an associate degree in a related discipline plus three months of related experience in equivalent inspection or testing activities.

#### 3.2 LEVEL II EDUCATION AND EXPERIENCE REQUIREMENTS

- o One year of satisfactory performance as a Level I in the corresponding inspection or test category or class; or
- o High school graduation plus three years of related experience in equivalent inspection or testing activities; or
- o Completion of college work leading to an associate degree in a related discipline plus one year of related experience in equivalent inspection or testing activities; or
- o Graduation from a four-year college plus six months of related experience in equivalent inspection activities or testing activities.

#### 3.3 LEVEL III EDUCATION AND EXPERIENCE REQUIREMENTS

- o Six years satisfactory performance as a Level II in the corresponding inspection or test category or class; or
- o High school graduation plus ten years of related experience in equivalent inspection or testing activities; or high school graduation plus eight years of experience in equivalent inspection or testing activities with at least two years associated with nuclear facilities; or, if not, at least sufficient training to be acquainted with relevant Quality Assurance aspects of a nuclear facility; or

No.:	Revision:	Date:	Page:
033-YMP-R Appendix C	0	December 15, 1988	3 of 4

- o Completion of college level work leading to an associate degree and seven years of related experience in equivalent inspection or testing activities with at least two years of this experience associated with nuclear facilities, or, if not, at least sufficient training to be acquainted with the relevant quality assurance aspects of a nuclear facility; or
- o Graduation from a four-year college plus five years related experience in equivalent inspection or testing activities with at least two years of this experience associated with nuclear facilities or, if not, at least sufficient training to be acquainted with the relevant quality assurance aspects of a nuclear or comparable facility.

#### 4.0 CERTIFICATION

##### 4.1 QUALIFICATION REQUIREMENTS

The LLNL-YMP designates those inspection and test activities that require qualified inspection and test personnel and the minimum qualification requirements for such personnel. Further, the responsible organization establishes written procedures for the qualification of inspection and test personnel and for the assurance that only those personnel who meet the established requirements are permitted to perform inspection and test activities. If a single inspection or test requires implementation by a team or a group, then personnel who do not meet the requirements of this section may be used in data-taking assignments or in repository or equipment operation, provided they are supervised or overseen by a qualified individual.

##### 4.2 PERSONNEL SELECTION

Personnel selected to perform inspection and test activities have the experience or training commensurate with the scope, complexity, or special nature of the activities.

##### 4.3 INDOCTRINATION

Provisions are made for the indoctrination of personnel as to the technical objectives and requirements of the applicable codes and standards, elements of the Quality Assurance Program Plan, and procedures that are to be employed.

##### 4.4 TRAINING

The need for a formal training program are determined, and such training activities are conducted as required to qualify personnel who perform inspection and tests. On-the-job training is included also in the program, with emphasis on first-hand experience gained through actual performance of inspections and tests. Training is provided with regard to those changes to the QAPP and implementing procedures that affect previous training.

No.:	Revision:	Date:	Page:
033-YMP-R Appendix C	0	December 15, 1988	4 of 4

#### 4.5 DETERMINATION OF INITIAL CAPABILITY

The capabilities of a candidate for certification is initially determined by a suitable evaluation of the candidate's education, experience, training, and either test results or capability demonstration in accordance with the organization's personnel qualification procedure.

#### 4.6 EVALUATION OF PERFORMANCE

The job performance of inspection and test personnel is reevaluated at periodic intervals not to exceed three years. Reevaluation includes evidence of continued satisfactory performance or redetermination of capability. If during this evaluation, or at any other time, it is determined by the responsible organization that the capabilities of an individual are not in accordance with qualification requirements specified for the job, then that person is removed from that activity until such time as the required capability has been demonstrated. Any person who has not performed inspection or testing activities in his qualified area for a period of one year is reevaluated and a redetermination of their capability made in accordance with the organization qualification procedure.

#### 4.7 CERTIFICATION OF QUALIFICATION

The qualification of personnel is certified in writing in an appropriate form, including the following information:

- o Employer's name.
- o Identification of person being certified.
- o Activities certified to perform.
- o Basis used for certification that includes such factors as:
  - Education, experience, and training (when necessary).
  - Test results (where applicable).
  - Results of capability demonstration.
- o Results of periodic evaluation.
- o Results of physical examinations (when required).
- o Signature of employer's designated representative who is responsible for such certification.
- o Dates of certification and certification expiration.

#### 4.8 PHYSICAL

The LLNL-YMP identifies any special physical characteristics needed in the performance of each activity, including the need for initial and subsequent physical examinations.

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

Subject: APPENDIX D - "REQUIREMENTS FOR THE QUALIFICATIONS OF  
NON-DESTRUCTIVE EXAMINATION PERSONNEL"

Approved: FEB 10 1989

Approved by: [Signature] 12/20/88 Date  
Yucca Mountain Project Leader

Approved by: [Signature] 12/16/88 Date  
Quality Assurance Manager

This Appendix provides amplified requirements for the qualification of personnel who perform radiographic (RT), magnetic particle (MT), ultrasonic (UT), liquid penetrant (PT), eddy current (ET), neutron radiographic (NRT), and leak-testing (LT), which is hereinafter referred to as nondestructive examination (NDE), to verify conformance to specified requirements.

#### 1.0 CERTIFICATION

##### 1.1 APPLICABLE DOCUMENTS

The American Society of Nondestructive Testing Recommended Practice No. SNT-TC-1A, June 1980 edition, and its applicable supplements applies as requirements to NDE personnel covered by this section.

##### 1.2 PROGRAM

The responsible organization establishes written procedures for the control and administration of NDE personnel training, examination, and certification.

##### 1.3 CERTIFICATE OF QUALIFICATION

The qualification of personnel is certified in writing in an appropriate form, including the following information:

- o Employer's name.
- o Identification of person being certified.
- o Activities certified to perform.
- o Basis used for certification that includes such factors as;
  - Education, experience, and training (when necessary).
  - Test results (where applicable).
  - Results of capability demonstration.

No.:	Revision:	Date:	Page:
033-YMP-R Appendix D	0	December 15, 1988	2 of 2

- o Results of periodic evaluation.
- o Results of physical examinations (when required).
- o Signature of employer's designated representative who is responsible for such certification.
- o Dates of certification and certification expiration.

#### 1.4 PHYSICAL

The LLNL-YMP identifies any special physical characteristics needed in the performance of each activity, including the need for initial and subsequent physical examinations.

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

Subject: APPENDIX E - "LIST OF TYPICAL QA RECORDS"

Approved: FEB 10 1988

Approved by: A. Sallan 12/20/88 Date  
Yucca Mountain Project Leader

Approved by: R. E. Schmitz 12/16/88 Date  
Quality Assurance Manager

The following is a list of typical QA records. The LLNL-YMP retention period is defined as lifetime. (1) QA records will be submitted to the DOE Project Office Records Center by the LLNL-YMP.

#### 1.0 SITE CHARACTERIZATION

- o Surveys of the underground facility excavations, shafts, and boreholes referenced to readily identifiable surface features.
- o Description of the materials encountered.
- o Geologic maps and geologic cross section.
- o Locations and amounts of seepage.
- o Instrument locations, readings, analysis, and reports for in situ testing.
- o Technical specifications.
- o Sample extraction location maps.
- o Site Characterization Report.
- o Environmental Assessment.
- o Peer review documentation.
- o Test plans and procedures, and results thereof.
- o Data reduction, evaluations, analyses, and reports for:
  - Geomorphology.
  - Stratigraphy.
  - Tectonics.



- Seismicity.
- Geoengineering.
- Hydrology.
- Geochemistry.
- Climatology and Meteorology.
- o Environmental Impact Statement.
- o Environmental Report.

## 2.0 DESIGN RECORDS

- o Applicable codes and standards used in design.
- o Design drawings.
- o Design calculations and records of checks.
- o Approved design change requests.
- o Design deviations.
- o Design reports.
- o Design verification data.
- o Design specifications and amendments.
- o Safety analysis report.
- o Stress reports for code items.
- o Systems descriptions.
- o Systems process and instrumentation diagrams.
- o Technical analysis, evaluations, and reports.

## 3.0 PROCUREMENT RECORDS

- o Procurement specifications.
- o Purchase order including amendments.

## 4.0 MANUFACTURING RECORDS

- o Applicable code data reports.
- o As-built drawings and records (Note: As-built drawings and records shall correctly identify the installed condition of the item. The type of as-built drawings and records to be maintained shall be specified).

- o Certificate of compliance.
- o Eddy-current examination final results.
- o Electrical control verification tests results.
- o Ferrite test results.
- o Heat treatment records.
- o Liquid penetrant examination final results.
- o Location of weld filler material.
- o Magnetic particle examination final results.
- o Major defect repair records.
- o Material properties records.
- o Nonconformance reports.
- o Performance test procedure and results records.
- o Pipe and fitting location report.
- o Pressure test (hydrostatic or pneumatic).
- o Radiographs (for in-service inspection applications).
- o Radiograph review records.
- o Ultrasonic examination final results.
- o Welding procedures.

## 5.0 INSTALLATION AND CONSTRUCTION RECORDS

### 5.1 RECEIVING AND STORAGE - NONCONFORMANCE REPORTS

### 5.2 CIVIL

- o Concrete cylinder test reports and charts.
- o Concrete design mix reports.
- o Concrete placement records.
- o Inspection reports for channel pressure tests.
- o Material property reports on containment liner and accessories.
- o Material property reports on metal containment shell and accessories.

No.: 033-YMP-R Appendix E	Revision: 0	Date: December 15, 1988	Page: 4 of 7
------------------------------	----------------	----------------------------	-----------------

- o Material property reports on reinforcing steel.
- o Material property reports on reinforcing steel splice sleeve material.
- o Procedure for waste package vessel pressure proof test and leak rate tests and results.
- o Reports of high strength bolt torque testing.
- o Location and description of structural support systems.
- o Details, methods of emplacement, and location of seals used.

### 5.3 WELDING

- o Ferrite test results.
- o Heat treatment records.
- o Liquid penetrant test final results.
- o Material property records.
- o Magnetic particle test final results.
- o Major weld repair procedures and results.
- o Radiographs (for in-service inspection application).
- o Radiograph review records.
- o Weld location diagrams.
- o Weld procedures.

### 5.4 MECHANICAL

- o Cleaning procedures and results.
- o Code data reports.
- o Installed lifting and handling equipment procedures, inspection, and test data.
- o Lubrication procedures.
- o Material properties records.
- o Pipe and fitting location reports.
- o Pipe hanger and restraint data.
- o Pressure test results (hydrostatic or pneumatic).
- o Safety valve response test procedures.

No.: 033-YMP-R Appendix E	Revision: 0	Date: December 15, 1988	Page: 5 of 7
------------------------------	----------------	----------------------------	-----------------

#### 5.5 ELECTRICAL AND INSTRUMENTATION AND CONTROL

- o Cable pulling tension data.
- o Cable separation data.
- o Cable splicing procedures.
- o Cable terminating procedures.
- o Certified cable test reports.
- o Relay test procedures.
- o Voltage breakdown test results.

#### 5.6 GENERAL

- o As-built drawings and records.
- o Final inspection reports and releases.
- o Nonconformance reports.
- o Specifications and drawings.
- o Details of equipment, methods, progress, and sequence of work.
- o Construction problems.
- o Anomalous conditions encountered.

#### 6.0 PRE-OPERATIONAL AND START-UP TEST RECORDS

- o Automatic emergency power source transfer procedures and results.
- o Final system adjustment data.
- o Pressure test results (hydrostatic or pneumatic).
- o Instrument alternating current (AC) systems and inverters test procedures and reports.
- o Offside power source energizing procedures and test reports.
- o Onsite emergency power source energizing procedure and test reports.
- o Pre-operational test procedures and results.

No.:	Revision:	Date:	Page:
033-YMP-R Appendix E	0	December 15, 1988	6 of 7

## 7.0 OPERATION RECORDS

- o Records and drawing changes that identify repository design modifications made to systems and equipment described in the Final Safety Analysis Reports.
- o Radioactive waste inventory, emplacement location, and transfer records.
- o Offside environmental monitoring survey records.
- o Waste shipment records.
- o Repository radiation and contamination survey results.
- o Radiation exposure records for individuals entering radiation control areas.
- o Records of gaseous and liquid radioactive material released to the environment.
- o Records of transient or operational cycles for those repository components designed for a limited number of transients or cycles.
- o Training and qualification records for members of the repository operating staff.
- o In-service inspection records.
- o Records of reviews performed for changes made to procedures or equipment, or reviews of tests and experiments.
- o Meeting minutes of the Repository Nuclear Safety Committee and licensee nuclear review board.
- o Surveillance activities, inspections, and calibrations required by the technical documents.
- o Records of repository tests and experiments.
- o Changes made to Operating Procedures.
- o Sealed source leak-test results.
- o Records of annual physical inventory of all sealed source material.
- o Logs of repository operation.
- o Records and logs of maintenance activities, inspection, repair, and replacement of principal items of structures, systems, and components.
- o Operational, shift supervisor, and control-room logs.
- o Licensee event reports.
- o Fire protection records.

- o Nonconformance reports.
- o Repository equipment operations instructions.
- o Security plan and procedures.
- o Emergency plan and procedures.
- o Quality Assurance and Quality Control Manuals.
- o Records of activities required by the security plan and procedures.
- o Applicable records noted in other section of this appendix for any modification or new construction applicable to structures, systems, or components.
- o Evaluation of results of reportable safety concerns as required by regulations.
- o Annual environmental operating report.
- o Annual repository operating report.
- o Location and description of dewatering systems.

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

Subject: APPENDIX F - "REQUIREMENTS FOR THE QUALIFICATION OF  
QUALITY ASSURANCE PROGRAM AUDIT PERSONNEL"

Approved: FEB 10 1989

Approved by: [Signature] 12/20/88 Date Yucca Mountain Project Leader  
Approved by: [Signature] 12/16/88 Date Quality Assurance Manager

## 1.0 GENERAL

This Appendix provides requirements for the qualification of Lead Auditors. A Lead Auditor organizes and directs audits, reports audit findings, and evaluates corrective action. This Appendix also provides amplified requirements for the qualifications of individuals, henceforth referred to as Auditors, who participate in an audit, such as technical specialists, management representatives, and auditors-in-training.

### 1.1 QUALIFICATION OF AUDITORS

The LLNL-YMP establishes the audit personnel qualifications and the requirements for the use of technical specialists to accomplish the auditing of Quality Assurance programs. Personnel selected for Quality Assurance auditing assignments have experience or training commensurate with the scope, complexity, or special nature of the activities to be audited. Auditors either have or are given appropriate training or orientation to develop their competence to perform required audits. The competence of personnel to perform the various auditing functions is developed by one or more of the methods listed below.

#### 1.1.1 ORIENTATION

Orientation to provide a working knowledge and understanding of this document and the auditing organization's procedures for implementing audits and reporting results.

#### 1.1.2 TRAINING PROGRAMS

Training programs to provide general and specialized training in audit performance. General training includes fundamentals, objectives, characteristics, organization, performance, and results of quality auditing. Specialized training includes methods of examining, questioning, evaluating, and documenting specific audit items and methods of closing audit findings.

No.: 033-YMP-R Appendix F	Revision: 0	Date: December 15, 1988	Page: 2 of 4
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### 1.1.3 ON-THE-JOB-TRAINING

On-the-job training, guidance, and counseling under the direct supervision of a Lead Auditor. Such training includes planning, performing, reporting, and follow-up action involved in conducting audits.

### 1.2. QUALIFICATION OF LEAD AUDITORS

An individual meets the requirements listed below before being designated a Lead Auditor.

#### 1.2.1 COMMUNICATIONS SKILLS

The prospective Lead Auditor has the capability to communicate effectively, both orally and in writing. These skills are attested to in writing by the Lead Auditor's employer.

#### 1.2.2 TRAINING

Prospective Lead Auditors have training to the extent necessary to assure their competence in auditing skills. Training in the following areas is given based upon management evaluation of the particular needs of each prospective Lead Auditor:

- o Knowledge and understanding of this document, 10 CFR Part 60, and other nuclear and/or DOE related codes, standards, regulations, and regulatory guides, as applicable to the LLNL-YMP.
- o General structure of Quality Assurance programs and applicable elements as defined in this document.
- o Auditing techniques of examining, questioning, evaluating, and reporting; methods of identifying and following up on corrective action items; and closing out audit findings.
- o Audit planning in the functions related to quality for the following activities: site characterization (scientific investigations), design, purchasing, fabrication, handling, shipping, storage, cleaning, erection, installation, inspection, testing, statistics, nondestructive examination, maintenance, repair, operation, modification of nuclear facilities or associated components, and safety aspects of the nuclear facility.
- o On-the-job training to include applicable elements of the audit program.

#### 1.2.3 AUDIT PARTICIPATION

The prospective Lead Auditor has participated in a minimum of five Quality Assurance audits within a period of time not to exceed three years prior to the date of qualification. One of the audits is a nuclear Quality Assurance audit made within the year prior to qualification.



#### 1.2.4 EXAMINATION

The prospective Lead Auditor passes an examination that evaluates his comprehension of and ability to apply the body of knowledge identified in Paragraph 1.2.2 above. The test may be oral, written, practical, or any combination of the three types. If any portion of the examination is oral, written documentation of the oral examination questions/content is maintained. The development and administration of the examination is in accordance with Paragraph 1.4 of this section.

#### 1.3 MAINTENANCE OF QUALIFICATION

##### 1.3.1 MAINTENANCE OF PROFICIENCY

Lead Auditors maintain their proficiency through regular and active participation in the audit process; review and study of codes, standards, procedures, instructions, and other documents related to quality assurance program and program auditing; and participation in training programs. Based on annual assessment, management extends the qualification, requires retraining, or requires requalification. These evaluations are documented.

##### 1.3.2 REQUALIFICATION

Lead Auditors who fail to maintain their proficiency for a period of two years or more require requalification. Requalification includes retraining in accordance with the requirements of Paragraph 1.2.2 of this section, reexamination in accordance with Paragraph 1.4.2, and participation as an Auditor in at least one nuclear Quality Assurance audit.

#### 1.4 ADMINISTRATION

##### 1.4.1 ORGANIZATIONAL RESPONSIBILITY

Training of auditors is the responsibility of the LLNL-YMP. The responsible auditing organization selects and assigns personnel who are independent of any direct responsibility for the performance of the activities that they will audit. The Lead Auditor, prior to commencing the audit, concurs that assigned personnel collectively have experience or training commensurate with the scope, complexity, or special nature of the activities to be audited.

##### 1.4.2 QUALIFICATION EXAMINATION

The development and administration of the examination for a Lead Auditor required by Paragraph 1.2.4 is the responsibility of the LLNL-YMP. The employer may delegate this activity to an independent certifying agency, but retains responsibility for conformance to this document of the examination and its administration. Integrity of the examination is maintained by the LLNL-YMP or certifying agency through appropriate confidentiality of files and, where applicable, proctoring of examinations. Copies of the objective evidence regarding the type or types and content of the examination or examinations is retained by the LLNL-YMP.

### 1.5 CERTIFICATION OF QUALIFICATION

Each Lead Auditor is certified by the LLNL-YMP as being qualified to lead audits. As a minimum, this certification shall document the following:

- o Employer's name.
- o Lead Auditor's name.
- o Date of certification or recertification.
- o Basis of qualification (i.e., education, experience, communication skills, training, examination, etc.).
- o Signature of LLNL-YMP designated representative who is responsible for such certification.

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

Subject: APPENDIX G - "REQUIREMENTS FOR QUALIFICATION OF  
EXISTING DATA NOT GENERATED UNDER A QA PROGRAM  
MEETING THEREQUIREMENTS OF 10 CFR 60, SUBPART G"

Approved: FEB 10 1988

Approved by: A. Allan <sup>12/20/88</sup> Date  
Yucca Mountain Project Leader

Approved by: R. E. Schuy <sup>12/16/88</sup> Date  
Quality Assurance Manager

## 1.0 GENERAL

This appendix provides requirements for the qualification of existing data, that will be needed to support a license application, which have not been initially generated under a QA Program meeting the requirements of 10CFR60, Subpart G.

## 2.0 METHODS FOR QUALIFICATION OF EXISTING DATA

2.1 Four methods or combinations of methods are acceptable for the process of qualifying existing data:

- a. The execution of the peer review process in accordance with the requirements of Appendix J of this QAPP.
- b. The use of corroborating data which is defined as existing data used to support or substantiate other existing data. Inferences drawn to corroborate the existing data are clearly identified, justified, and documented. The level of confidence associated with corroborating data is related to the quality of the program under which it was developed and the number of independent data sets. The amount of corroborating data needed is dealt with on a case-by-case basis in the documented reviews for qualification.
- c. The use of confirmatory testing which is defined as testing conducted under a 10CFR60, Subpart G QA program which investigates the properties of interest (e.g., physical, chemical, geologic mechanical) of an existing data base. One example of confirmatory testing is testing conducted under the same environmental conditions and with similar or the same procedures, test material, and equipment as the original test which generated the existing data. Another type of confirmatory testing is testing conducted by different test methods and equipment but which still investigates the same parameter of interest. The amount of confirmatory testing required is dealt with on a case-by-case basis in the documented reviews for qualification.
- d. Demonstrating that the existing data was collected under a QA program which is equivalent to a 10 CFR 60, Subpart G QA program.

No.:	Revision:	Date:	Page:
033-YMP-R Appendix G	0	December 15, 1988	2 of 2

### 3.0 SELECTION AND DOCUMENTATION OF QUALIFICATION METHODOLOGY

3.1 When the methods indicated in Sections 2.1b, 2.1c, and 2.1d are utilized to qualify existing data, a technical review is conducted to support the quality of the data. Additional confidence/credibility can be achieved when a combination of methods is used.

3.2 Documentation of the decision process provides an auditable trail of all factors used in arriving at the choice of the qualification method(s), and the decision as to the qualification of the existing data. The level of confidence in the existing data is commensurate with the intended use of the data. Attributes which are considered in the qualification process are:

- A. Qualifications of personnel or organizations generating the data are comparable to qualifications requirements of personnel generating similar data under the LLNL-YMP QAPP.
- B. The technical adequacy of equipment and procedures used to collect and analyze the data.
- C. The extent to which the data demonstrate the properties of interest (e.g., physical, chemical, geologic, mechanical).
- D. The environmental conditions under which the data were obtained if germane to the quality of data.
- E. The quality and reliability of the measurement control program under which the data were generated.
- F. The extent to which conditions under which the data were generated may partially meet Subpart G.
- G. Prior uses of the data and associated verification processes.
- H. Prior peer or other professional reviews of the data and their results.
- I. Extent and reliability of the documentation associated with the data.
- J. Extent and quality of corroborating data or confirmatory testing results.
- K. The degree to which independent audits of the process that generated the data were conducted.
- L. The importance of the data to showing that the proposed repository design meets the performance objectives of 10 CFR 60, Subpart E.
- M. Replication of test results

Note: Additional guidance related to this subject can be found in NUREG-1298 "QUALIFICATION OF EXISTING DATA FOR HIGH-LEVEL NUCLEAR WASTE REPOSITORIES" (February, 1988).

**NUCLEAR WASTE MANAGEMENT PROGRAM**  
CONTROLLED COPY NO. 0100

No.: 033-YMP-R Appendix H  
Revision: 0  
Date: December 15, 1988  
Page: 1 of 10

Subject: APPENDIX H - REQUIREMENTS FOR COMPUTER SOFTWARE USED  
TO SUPPORT A HIGH-LEVEL NUCLEAR WASTE  
REPOSITORY LICENSE APPLICATION

Approved: FEB 10 1989

Approved by: [Signature] 12/22/88 Date  
Yucca Mountain Project Leader

Approved by: [Signature] 12/22/88 Date  
Quality Assurance Manager

### 1.0 OBJECTIVES

The purpose of this appendix is to establish requirements for the development, management, control, and documentation of software used to support the Yucca Mountain Project (YMP). The software requirements are intended to ensure software quality and to provide part of the basis on which YMP will evaluate the soundness of the software used.

This appendix supplements 033-YMP-R 3 of this QAPP and is used in conjunction with that section as applicable.

### 2.0 APPLICABILITY

The requirements set forth in this appendix apply to computer software used to produce or manipulate data that is used directly in site-characterization and performance assessment analyses and in the design, analysis, and operation of repository structures, systems, and components.

Written procedures are established that assure the requirements of this appendix are implemented in a consistent and systematic manner. The extent to which these requirements apply are defined in the software QA plan and is related to the nature, complexity, and importance of the software applications.

### 3.0 TERMS AND DEFINITIONS

Terms and definitions used in this appendix for software are defined below:

**Baseline:** As used for computer software: (1) The stage of computer software at a completed and reviewed phase of the software lifecycle; (2) Approved documentation generated within or as a result of completing a phase of the software life cycle.

**Computer Code:** A set of computer instructions for performing the operations specified in a numerical model.

Configuration Management: As used for computer software: (1) A system for orderly control of software, including methods used for labeling, changing, and storing software and its associated documentation. (2) The systematic evaluation, coordination, approval or disapproval, and implementation of all approved changes in an item of software after establishment of its configuration.

Computer Code Verification: Assurance that a computer code correctly performs the operating specified in a numerical model (NUREG-0856). Usually accomplished by comparing code results to (1) a hand calculation, (2) an analytical solution or approximation, or (3) a verified code designed to perform the same type of analysis (benchmarking).

Discrepancy: Condition adverse to quality; reference to any of the following: failures, malfunctions, deficiencies, defective items, and nonconformances.

Life Cycle: See software development life cycle.

Model: A representation of a physical system, based on scientific principles and laws, that transforms a set of input information or data into another set of output information or data.

Model Validation: Assurance that a model as embodied in a computer code is a correct representation of the process or system for which it is intended (NUREG-0856). Usually accomplished by comparing code results to (1) physical data, or (2) a verified and validated code designed to perform the same type of analysis (e.g., benchmarking with a validated code). Peer review may be used for model validation if it is the only available means for validating a model.

Numerical Method: A procedure for solving a problem primarily using numerical methods.

Numerical Model: A representation of a process or system using numerical methods.

Software: A set of computer operations specified in any programming language that can be translated unambiguously into machine language. (Operations specified in machine language are also software).

Software-development Life Cycle: A method of project planning and documentation for the development of a software product. Life cycle allows optimal traceability regarding the goals, restrictions, decisions made, and current progress of a code.

#### 4.0 SOFTWARE VERIFICATION AND MODEL VALIDATION

Software verification and model validation activities are performed as described in the software QA plan.

No.:	Revision:	Date:	Page:
033-YMP-R Appendix H	0	December 15, 1988	3 of 10

#### 4.1 SOFTWARE VERIFICATION

Verification plans employ methods such as inspections, analyses, demonstrations, and tests to assure that the software adequately and correctly performs all intended functions and that the software does not perform any function that, either by itself or in combination with other functions, can degrade the entire system.

Verification activities are performed according to written procedures relative to specific hardware configurations. The amount of verification activity is determined by the type and complexity of the software. The results of verification are documented in accordance with Section 6.0 and reviewed in accordance with Section 7.0 of this appendix.

#### 4.2 MODEL VALIDATION

Model validation activities are performed according to written procedures to demonstrate that models embodied in computer software are correct representations of the process or system for which they are intended. This is accomplished by comparing software results against verified and traceable data obtained from laboratory experiments, field experiments or observations, or in-situ testing. Specific sets of data used in the validation process are identified, and justification is documented for their use. When data are not available from the sources mentioned above, alternative approaches may be used and are documented. Alternative approaches may include peer review and comparisons with the results of similar analyses performed with verified software. The results of the model validation are documented according to Section 6.0 and reviewed according to Section 7.0.

#### 5.0 SOFTWARE CONFIGURATION MANAGEMENT

Software configuration management system is established to assure positive identification of software and control of all software baseline changes.

#### 5.1 CONFIGURATION IDENTIFICATION

Software configuration baseline items are identified at the appropriate phase of each software lifecycle. Approved changes to a baseline are added to the baseline as updates. A baseline plus updates specify the most recent software configuration. A labeling system for configuration items is implemented that:

- o Uniquely identifies each software configuration item or version identifier.
- o Identifies changes to software configuration items by revision identifiers.
- o Facilitates placement of the software configuration item in a relationship with other configuration item.

## 5.2 CONFIGURATION CHANGE CONTROL

Changes to software configuration items are formally controlled and documented. This documentation contains a description of the change, the identification of the originating organization, the rationale for the change, and the identification of affected baseline and software configuration items. Assurance is provided that only authorized changes are made to software baselines and software configuration items.

## 5.3 CONFIGURATION STATUS ACCOUNTING

The information that is needed to manage software configuration items is recorded and reported. The information includes the approved configuration identification, the status of formal proposals for changes to software configuration items, the implementation status of approved changes, and all information to support the functions of configuration identification, and configuration control.

## 6.0 DOCUMENTATION

Documentation is required as defined by the software QA plan. The following is acceptable documentation of computer software used on the Yucca Mountain Project. Additional documentation may also be identified in the software QA plan.

### 6.1 SOFTWARE LIFE CYCLE DOCUMENTATION

#### 6.1.1 SOFTWARE LIFECYCLE REQUIREMENTS SPECIFICATION

Software requirements documentation outlines the requirements that the software must fulfill. A specific capability of software is called a requirement only if its achievement can be verified by a prescribed method. The requirements address the following as applicable to the software application:

- o Functionally - the functions the software are to perform.
- o Performance - the time-related issues of software operation such as speed, recovery time, response time, etc.
- o Design constraints imposed on implementation - any element that will restrict design options.
- o Attributes - non-time-related issues of software operation such as portability, correctness, security, maintainability, etc.
- o External Interface - interactions with other participants, hardware, and other software.



No.:	Revision:	Date:	Page:
033-YMP-R Appendix H	0	December 15, 1988	5 of 10

### 6.1.2 SOFTWARE LIFECYCLE DESIGN DOCUMENTATION

Software design documentation addresses the following as applicable to the software application:

- o A description of the major components of the software design as they relate to the requirements of the software requirements specification.
- o A technical description of the software with respect to control flow, data flow, control logic, and data structure.
- o The description of the allowable and tolerable ranges for inputs and outputs.
- o The design described in a manner that is easily traceable to the software requirements.
- o A description of life cycle verification activities.

### 6.1.3 SOFTWARE LIFECYCLE IMPLEMENTATION DOCUMENTATION

Software implementation documentation addresses the following as applicable:

- o Source code listing.
- o Revised requirements documents.
- o Revised design documents.

Any design changes made to the requirements and design phase document are assessed as to the impact to the design. The revised requirements and design phase documents are reviewed at the same review level as the original documents.

### 6.1.4 SOFTWARE LIFECYCLE TESTING DOCUMENTATION

Life cycle testing activities are documented. Software testing documentation includes a plan that describes the tasks and criteria for accomplishing the verification of the software in this phase. The documentation also specifies the hardware and system software configuration(s) for which the software is designed. In those cases where testing is used to ensure that requirements were met in the software design, test documentation provides traceability from requirements to design as implemented in the code. This documentation also includes a report on the results of the execution of the life cycle verification activities. This report includes the results of all reviews, audits and tests, and a summary of the status of the software.

### 6.2 MANDATORY DOCUMENTATION

The following mandatory documentation (consistent with NUREG-0856) is provided to meet the requirements of Section 3.2 of this QAPP, as applicable:

- o Software Summary
- o Mathematical and Numerical Models

- o User's Manual
- o Code Assessment and Support
- o Continuing Documentation and Code Listing

## 7.0 REVIEWS

Documentation produced during software development, acquisition, implementation, testing, and use is subject to appropriate reviews as described in the software QA plan.

### 7.1 SOFTWARE LIFE CYCLE REVIEWS

Reviews of software life cycle activities are performed for each life cycle phase completed. The procedures used for reviews identify the reviewers and their responsibilities.

The documentation for all reviews contains a record of review comments and the personnel responsible for comment resolution. After review comments are resolved, the approved documents are updated and placed under configuration management.

The following reviews are performed as applicable:

#### 7.1.1 SOFTWARE LIFECYCLE REQUIREMENTS REVIEW

The review of software requirements is performed at the completion of the software requirements documentation. This review assures that the requirements are complete, verifiable and consistent. The review assures that there is sufficient detail available to facilitate definition of the software design or acquisition.

#### 7.1.2 SOFTWARE LIFECYCLE DESIGN REVIEW

The software design review is held at the completion of the software design documentation. This review evaluates the technical adequacy of the design approach and assures that the design satisfies all the requirements in the requirements documentation. The complexity of the software design may require the performance of multiple design reviews.

#### 7.1.3 SOFTWARE LIFECYCLE IMPLEMENTATION REVIEW

The software implementation review is an evaluation of the completed software lifecycle requirements, design, and implementation processes.

#### 7.1.4 SOFTWARE LIFECYCLE TESTING REVIEW

The software testing review is an evaluation of the adequacy of completed software lifecycle verification activities.

No.:	Revision:	Date:	Page:
033-YMP-R Appendix H	0	December 15, 1988	7 of 10

## 7.2 MANDATORY REVIEWS

Mandatory documents (consistent with Section 6.2 of this appendix) are reviewed and documented in accordance with review procedures established in the software QA plan.

The adequacy of verification activities is reviewed. Also the adequacy of model-validation activities is reviewed.

## 8.0 DISCREPANCY REPORTING AND CORRECTIVE ACTION

Formal procedures are established for software discrepancy reporting and corrective action. This discrepancy reporting system is integrated with the configuration management system to assure formal processing of discrepancy resolutions.

Software discrepancy procedures assures that, as a minimum:

- o Defects are documented and evaluated for possible corrective action.
- o Defects are assessed for impact on previous applications.
- o Corrections are reviewed and approved before changes to software configuration items are entered into baselines.
- o Preventive and corrective actions provide for appropriate notification of organizations to which controlled copies have been distributed.

## 9.0 MEDIA CONTROL AND SECURITY

Physical media containing the images of software are physically protected to prevent their inadvertent damage, degradation, or loss.

## 10.0 SOFTWARE ACQUISITION, PROCUREMENT, AND TRANSFER

Procedures are established for controlling the acquisition or procurement of computer software from an outside organization and for the transfer of computer software to an outside organization.

Software requests by participating organizations includes appropriate criteria to enable the software received to comply, as much as possible, with the requirements of this QA plan. Requirements not satisfied at the time when the software is received, are completed by the organization in the appropriate phase of the applicable software life cycle. For those requirements that are not satisfied, the reasons are documented for distribution to the users.

Configuration management requirements apply to acquired or procured software using the product originally received as the initial baseline. Configuration management records document any conversions, modifications, configuration changes, or additional software required to make the software functional.

No.:	Revision:	Date:	Page:
033-YMP-R Appendix H	0	December 15, 1988	8 of 10

## 11.0 SOFTWARE QUALITY ASSURANCE PLAN

A software QA plan is prepared that describes the software development, acquisition and applications undertaken. Individual software QA plans may additionally be prepared for specific software products. The software QA plan identifies the:

- o Organizational responsibilities for the management and control of software.
- o Software products to which the software QA plan applies.
- o Criteria for meeting the requirements set forth in this appendix to the applicable software.
- o Software life-cycle model used.
- o Required documentation.
- o Software configuration-management system.
- o Verification and validation methodologies.
- o Discrepancy reporting and corrective actions.
- o Software review procedures.

Software lifecycle management is a requirement, and the software QA Plan presents the specific software lifecycle controls. A generic lifecycle that presents the conceptual lifecycle management steps is presented in Section 11.1.

## 11.1 SOFTWARE LIFECYCLE

A software life cycle model that requires that software development or acquisition proceed in a traceable, planned, and orderly manner is implemented. The relative emphasis placed on the phases of the software life cycle will depend on the nature, complexity, importance, and intended applications of the software.

The following lifecycle elements apply as appropriate for the specific lifecycle model defined, interpreted, and described in the software QA plan.

### 11.1.1 LIFECYCLE REQUIREMENTS PHASE

During this phase, requirements that pertain to functionality, performance, design constraints, attributes, and external interfaces of the completed software are specified, documented, and reviewed. These requirements include the following characteristics:

- o A format and language that is understood by the programming organization and the user.
- o Enough detail to allow for objective verification.

- o Adequate definition to provide for the response of the software to the identified input data.
- o The information necessary to design the software without prescribing the software design itself.

#### 11.1.2 LIFECYCLE DESIGN PHASE

During the design phase, a software design based on the requirements is specified, documented, and systematically reviewed. The design specifies the overall structure (control and data flow), and the reduction of the overall structure into physical solutions (algorithms, equations, control logic, and data structures). The design may necessitate the modification of the requirements documentation.

Verification activities during this phase consist of, but are not limited to:

- o The planning for design-based test cases.
- o The review and analysis of the software design.
- o The verification of the software design.

#### 11.1.3 LIFECYCLE IMPLEMENTATION PHASE

During this phase, the design is translated into a programming language and the implemented software is debugged. Only minor, if any, design issues are resolved at this phase.

Verification activities during this phase consist of:

The possible modification of test cases necessary due to design changes made during coding.

The examination of source code listings to assure adherence to coding standards and conventions.

#### 11.1.4 LIFECYCLE TESTING PHASE

The testing phase consists of verification activities. Software verification will be essentially completed during this phase. The verification activities will include:

- o Execution of the test cases and evaluation of the results.
- o Evaluation of the completed software to assure adherence to the requirements.
- o The preparation of a report describing the results of software verification.

Model validation is conducted in accordance with Section 4.2 of this appendix. Because model validation is application dependent, model validation may not be completed at this stage.

### 11.1.5 LIFECYCLE INSTALLATION AND CHECKOUT PHASE

During this phase, the software may become part of a system incorporating other software components, the hardware, and production data. The process of integrating the software with other components may consist of installing hardware, installing the program, reformatting or creating databases, and verifying that all components have been included.

Testing activities during this phase consist of the execution of test cases for installation and integration. Test cases from earlier phases are used for installation testing.

### 11.1.6 LIFECYCLE OPERATIONS AND MAINTENANCE PHASE

During the operations and maintenance phase, the software has been approved for operational use. Maintenance activity consists of identification of latent errors and notification of users. Further activities may consist of maintenance of the software to remove latent errors (corrective maintenance), response to new or revised requirements (perfective maintenance), or adaptation of the software to changes in the software environment (adaptive maintenance). Software modifications are approved, documented, tested, and controlled in accordance with software configuration management requirements.

## 12.0 SOFTWARE APPLICATIONS

Procedures are established for controlling the application of software that perform technical calculations in support of site-characterization and performance assessment analyses and for the design, analysis, and operation of repository structures, system, and components. These software applications are reviewed and approved to assure that the software selected is applicable to the problem being solved and that input data assumptions are valid and traceable.

Procedures are established for documenting software applications that perform technical calculations to ensure that these applications and the results of these applications can be independently reproduced.

Procedures are established for reviewing these applications to provide reasonable assurance that the software used is appropriate for the intended application and that the results produced are accurate. Documentation appropriate for a given application or analysis includes the computer code, the input data, the assumptions or approximations employed to develop the input data, and appropriate user documentation for performing the application or analysis.



CHANGE NOTICE

**APPROVED FOR  
INTERIM USE**

CN No.: R Appendix I-0-1

Affected Document: 033-YMP-R Appendix I, Rev.0

Prepared by: Raymond E. Hamati

Approved by: N/A  
(Technical Area Leader) (Date)

Approved by: RK Deary 2-7-91  
(YMP QA Manager) (Date)

Training Required:  
Yes  No

Approved by: Phil Jordan 2/19/91  
(YMP Project Leader) (Date)

Currently Read as Follows:

1. Section 1.0, Second sentence: "These items . . . . highest quality assurance level (QA level I) of this . . . ."
2. Section 2.0, Last sentence: As published
3. Section 2.1, First sentence: As published
4. Section 2.1, Last sentence: As published
5. Section 2.2, Second sentence: As published
6. Section 3.2, Last sentence: As published
7. Section 4.0, Paragraph before last, Second sentence: As published
8. Section 4.0, Paragraph before last, Last sentence: As published

**NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT**

**CHANGED TO READ:**

1. **Section 1.0, Second sentence:** "These items . . . . quality assurance controls of this . . . ."
2. **Section 2.0, Last sentence:** Delete "QA Level I"
3. **Section 2.1, First sentence:** Delete "Level I"
4. **Section 2.1, Last sentence:** Delete "Level I"
5. **Section 2.2, Second sentence:** "These items are also subject to the appropriate QA controls of this QAPP."
6. **Section 3.2, Last sentence:** "Other activities which are subject to QA controls, such as designing, inspecting, and purchasing, will not be identified in PRAs."
7. **Section 4.0, Paragraph before last, Second sentence:** Delete "Level I"
8. **Section 4.0, Paragraph before last, Last sentence:** Delete "Level I"



NUCLEAR WASTE MANAGEMENT PROGRAM

CONTROLLED COPY NO. 0100

No.: 033-YMP-R Appendix I

Revision: 0

Date: December 15, 1988

Page: 1 of 5

Subject: APPENDIX I - REQUIREMENTS FOR THE IDENTIFICATION OF ITEMS  
AND ACTIVITIES SUBJECT TO QUALITY ASSURANCE  
REQUIREMENTS

Approved: FEB 16 1989

Approved by: J. Spellan 12/15/88 Date  
Yucca Mountain Project Leader

Approved by: R. L. E. Adams Date  
Quality Assurance Manager

1.0 GENERAL

This Appendix provides requirements for the identification of items important to safety and the identification of items and activities important to waste isolation. These items and activities are subject to the highest quality assurance level (QA Level I) of this QAPP and are listed on a "Q-List".

2.0 QUALITY ASSURANCE CRITERIA FOR LICENSING

The purpose of the geologic repository program is to permanently dispose of high-level nuclear waste. In order to obtain a license for receipt and possession of radioactive material at the geologic repository, it must be demonstrated that the repository system will function as required to protect health and safety of the public and the environment. Requirements for licensing a repository to meet this goal are specified in 10 CFR Part 60. These requirements describe the performance objectives and other technical criteria to assure safe operation during waste emplacement and retrieval (if necessary), as well as effective containment and long-term isolation of waste following permanent closure of the geologic repository. The QA Level I requirements of this QAPP specify the QA Program for these items and related activities important to safety and/or waste isolation to assure that their characterization, design, construction, and operation comply with the requirements of 10 CFR Part 60.

2.1 QUALITY ASSURANCE CRITERIA FOR THE Q-LIST AND QUALITY ACTIVITIES LIST

The QA Level I requirements of this QAPP apply to items and activities important to safety and/or waste isolation. As derived from 10 CFR Part 60 (60.152), this QA program is based on the 18 criteria of 10 CFR Part 50 Appendix B. These criteria address, in general terms, the basic elements of a QA program, such as organization, design control, test control, inspection, and records management. As noted in 10 CFR 60.152, these criteria are supplemented as necessary to meet the specific requirements of the repository program. In addition to the QA Level I requirements of this QAPP items important to safety and the waste package are subject to the design criteria of 10 CFR 60.131(b) and 60.135 respectively.

No.:	Revision:	Date:	Page:
033-YMP-R Appendix I	0	December 15, 1988	2 of 5

## 2.2 CRITERIA FOR NON-Q-LIST ITEMS

Certain items that are not important to safety and/or waste isolation are also addressed in the license application to demonstrate compliance with 10 CFR Part 60 requirements. While these items are not subject to the QA Level I requirements of this QAPP, QA Level II requirements are applied. Additional guidance related to this subject can be found in NUREG-1318, (April, 1988), Paragraph 5.1(b)

## 2.3 DATA NOT COLLECTED UNDER A 10 CFR 60 SUBPART G QA PROGRAM

All data collection, interpretations, analyses, and other work to be used to support findings important to safety and/or waste isolation in the licensing process are technically and procedurally defensible. "Existing data" are qualified in accordance with the requirements of Appendix G of this QAPP. In addition to existing data, some materials that may be important to safety and/or waste isolation may already have been purchased prior to implementation of a 10CFR 60 Subpart G QA Program. Supporting documentation of these materials (e.g. the technical specifications and QA records) are reviewed to determine whether they meet the technical and QA requirements for their designated function. If not, they are "qualified" for use to assure they will perform their intended function.

## 3.0 IDENTIFICATION OF ITEMS IMPORTANT TO SAFETY

Items important to safety are those items essential to the prevention or mitigation of an accident that could result in a radiation dose to the whole body, or any organ, of 0.5 rem or greater at or beyond the nearest boundary of unrestricted area at any time until the completion of permanent closure (10 CFR 60.2). The 0.5 rem value is, therefore, the threshold for determining what structures, systems and components are on the Q-list as items important to safety. The rationale for placing a system, structure, or component on the Q-list is to provide added assurance, via application of rigorous QA/QC and design requirements, that they should perform their designate function.

3.1 Probabilistic Risk Analysis (PRA) is used to the extent practicable, to support the identification of structures, systems, and components important to safety in the license application. Use of this approach for the operations phase of the HLW program is consistent with the approach prescribed by the EPA standard (40 CFR Part 191) for the overall system containment following emplacement of waste in a geologic repository. In cases where data are limited, engineering judgment and conservative bounding assumptions are used. Conservative assumptions include non-mechanistic failures where information and/or experience are not adequate to reliably determine failure modes and accident scenarios. However, non-mechanistic failures need not be considered where failure modes and mechanisms are understood and failure rates can be determined.

3.2 Operator actions or errors which could initiate accidents are identified in PRAs or other analysis. These are controlled to minimize the probability of occurrence. Other activities which are subject to QA Level I requirements, such as designing, inspecting, and purchasing will not be identified in PRAs but are controlled in accordance with QA Level I requirements.

3.3 PRAs utilize the following techniques:

3.3.1 System modeling to depict the combination of safety function and system successes or failures which constitute accident scenarios. Two modeling techniques which may be used are event tree analysis, which identifies the sequence of events that may result in an accident, and fault tree analysis, which determines how failures in safety systems may occur. Both techniques are analytical tools which organize and characterize potential accidents in a methodical manner.

An event-tree defines a comprehensive set of accident sequences that encompasses the effects of all realistic and physically possible potential accidents. By definition, an initiating event is the beginning point in the sequence. Hence, a comprehensive list of accident-initiating events is compiled to assure that the event trees properly depict all important sequences.

A fault tree examines the various ways in which a system designed to perform a safety function can fail. Each safety system identified in the event tree as involved in an accident is examined to determine how failures of components within that system could cause the failure of the entire system.

If failure of a mitigating system could contribute to an off-site dose, individual components within the mitigating system are reviewed, using fault tree analysis, to determine the effect of their failure on performance of the overall system. For example, individual components in the ventilation system which may need to be analyzed include dampers, motors, and filters.

3.3.2 Consequence analysis of accident scenarios identified in event/fault tree analyses to determine the amount and kind of radionuclides which may reach the unrestricted area and contribute to an off-site dose. Consequence analysis includes identification of a source term for radioactive releases and evaluation of mechanisms for movement and deposition of radioactive materials released from the HLW facility. The energy, magnitude, and timing of radiological releases resulting from various accidents are considered in this analysis.

3.3.3 Analysis to assess the effect of uncertainties in the data base and uncertainties arising from modeling assumptions on the PRA findings. The insights gained in the analysis about features that are significant contributors to risk can provide qualitative understanding into system performance.

Additional guidance related to the assessment of pre-closure accidents can be found in NUREG 1318, (April, 1988), paragraph 5.2(a).

#### 3.4 REDUNDANCY

The use of redundant structures, systems, and components is a method of providing additional assurance that necessary safety functions will be performed if an accident occurs and that the accident dose limit will not be exceeded. In a redundant system, the failure of one train of the system does not comprise or prevent the associated safety function from being performed. For the high-level waste repository, 10 CFR 60 [60.131(b) (5) (ii)] addresses requirements for redundancy. The items needed to provide redundancy of items important to safety are also on the Q-list.

### 3.5 USE OF PREVIOUSLY ESTABLISHED GUIDELINES AND STANDARDS

Many guidelines and standards have been developed in the nuclear power reactor program and other nuclear programs which may be applicable for the geologic repository program.

For example, there are regulatory guides covering design basis earthquakes, floods, and tornado wind velocities which may be used in the design of the HLW facility and developing the Q-list. While some of these guidelines and standards may not be directly applicable to a geologic repository, they are considered to the extent practicable, to eliminate the need to develop new approaches.

### 3.6 RETRIEVAL

The option for retrieval of waste is addressed as a performance objective in 10 CFR 60.111(b). If retrieval is found to be necessary, analyses of retrieval operations are conducted at that time, to identify Q-list items.

### 4.0 IDENTIFICATION OF ITEMS AND ACTIVITIES IMPORTANT TO WASTE ISOLATION

The term "important to waste isolation" refers to engineered natural barriers that will be relied on to meet the containment and isolation performance objectives of 10 CFR 60 Subpart E. Four of the performance objectives for waste isolation after permanent closure are stated in 10 CFR 60.112 and 60.113 and include:

- o ground water travel time
- o waste package containment period
- o maximum yearly release rate from the engineered barrier system
- o the overall system performance objective in 10 CFR 60.112 for release of radioactive materials to the accessible environment (the EPA standard in 40 CFR Part 191).

The items and activities important to waste isolation include:

- o Components of the engineered barrier system relied on to meet the performance objectives.
- o Elements of the natural barrier system (e.g., host rock, and geochemical retardation characteristics) relied on to meet the performance objectives.
- o Activities necessary to demonstrate that the performance objectives will be met, including collection of data to characterize the site or performance of engineered barriers.
- o Activities in the preclosure phase that could effect post-closure performance.

The broad performance objectives for waste isolation provide some flexibility in allocating credit among the various components of the natural and engineered barrier systems to meet each objective. For example, a 300 to 1000 year lifetime for the waste package might be achieved by a combination of performance from each of the components in the waste package or by a single component, such as the canister. The allocation of performance among the various components of the natural and engineered barrier system for each performance objective will provide the basis for determining which barriers are important to waste isolation. Performance assessments are conducted on these barriers to ascertain that those relied on will meet the waste isolation and containment performance objectives of 10 CFR Part 60.

The initial allocation of performance will provide a basis for determining what site characterization testing will be needed. The initial allocations of performance among the barriers is likely to change based on the results of performance assessments using data collected during site characterization.

It is expected that most of the data collected during the site characterization phase can potentially be used in the license application performance assessments. During the early phase of characterization in particular, when little is known about the site and the importance of data characterizing it, data collection activities are controlled in accordance with the QA Level I requirements of this QAPP. However, there may be cases where it is known that data are not needed for performance requirements of this QAPP and therefore would not have to be performed in scoping tests or tests to examine the feasibility and appropriateness of a data collection technique may not need to be performed in accordance with the QA Level I requirements of this QAPP.

Note: Additional guidance related to this subject can be found in NUREG-1318, "TECHNICAL POSITION ON ITEMS AND ACTIVITIES IN THE HIGH-LEVEL WASTE GEOLOGIC REPOSITORY PROGRAM SUBJECT TO QUALITY ASSURANCE REQUIREMENTS" (April, 1988).

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

No.: 033-YMP-R Appendix J

Revision: 0

Date: December 15, 1988

Page: 1 of 3

Subject:

APPENDIX J - REQUIRMENTS FOR PEER REVIEW

Approved:

FEB 10 1988

Approved by: [Signature] <sup>12/20/88</sup> Date  
Yucca Mountain Project Leader

Approved by: [Signature] <sup>12/16/88</sup> Date  
Quality Assurance Manager

## 1.0 GENERAL

This appendix provides the requirements regarding the applicability of peer reviews, the structure of peer review groups, acceptability of peers, and the conduct and documentation of peer reviews.

## 2.0 APPLICABILITY OF PEER REVIEW

2.1 A peer review is used when the adequacy of information (e.g., data, interpretations, test results, design assumptions, etc.) or the suitability of procedures and methods essential to showing that the repository system meets or exceeds its performance requirements with respect to safety and waste isolation cannot otherwise be established through testing, alternate calculations or reference to previously established standards and practices.

2.2 In general, the following conditions are indicative of situations in which a peer review is considered:

- a. Critical interpretations or decisions will be made in the face of significant uncertainty, including the planning for data collection, research, or exploratory testing.
- b. Decisions or interpretations having significant impact on performance assessment conclusions will be made.
- c. Novel or beyond the state-of-the-art testing, plans and procedures, or analyses are or will be utilized.
- d. Detailed technical criteria or standard industry procedures do not exist or are being developed.
- e. Results of tests are not reproducible or repeatable.
- f. Data or interpretations are ambiguous.
- g. Data adequacy is questionable--such as, data may not have been collected in conformance with an established QA program.

2.3 A peer review is used when the adequacy of a critical body of information can be established by alternate means, but there is disagreement within the cognizant technical community regarding the applicability or appropriateness of the alternate means.

### 3.0 STRUCTURE OF PEER REVIEW GROUP

The number of peers comprising a peer review group varies commensurate with the following:

- A. The complexity of the work to be reviewed.
- B. Its importance to establishing that safety or waste isolation performance goals are met.
- C. The number of technical disciplines involved.
- D. The degree to which uncertainties in the data or technical approach exist.
- E. The extent to which differing viewpoints are strongly held within the applicable technical and scientific community concerning the issues under review.

3.2 The collective technical expertise and qualifications of peer review group members spans the technical issues and areas involved in the work to be reviewed, including any differing bodies of scientific thought. The potential for technical or organizational partiality is minimized by selecting peers to provide a balanced peer review group. Technical areas more central to the work to be reviewed receive proportionally more representation in the peer review group.

### 4.0 ACCEPTABILITY OF PEERS

4.1 The technical qualification of the peer reviewers, in their review areas, is at least equivalent to that needed for the original work under review. Each peer has recognized and verifiable technical credentials in the technical area that the peer has been selected to review.

4.2 Members of the peer review group are independent of the original work to be reviewed. Independence in this case means that the peer was not involved as a participant, supervisor, technical reviewer, or advisor in the work being reviewed, and to the extent practical, has sufficient freedom from funding considerations to assure the work is impartially reviewed. In some cases (i.e. funding considerations) it may be difficult to meet the independence criteria without reducing the technical quality of the peer review. When the independence criteria cannot be met, a documented rationale is included in the peer review report.

### 5.0 PEER REVIEW PROCESS

5.1 Since the peer review process may vary from case to case, a peer review plan is prepared prior to initiating a peer review. The peer review plan describes the work to be reviewed, the size and spectrum of the peer review group, and the suggested method and schedule necessary to produce a peer review report.

No.:	Revision:	Date:	Page:
033-YMP-R Appendix J	0	December 15, 1988	3 of 3

5.2 The peer review group evaluates and reports on:

- a. Validity of assumptions.
- b. Alternate interpretations.
- c. Uncertainty of results and consequences if incorrect.
- d. Appropriateness and limitations of methodology and procedures.
- e. Adequacy of application.
- f. Accuracy of calculations.
- g. Adequacy of requirements and criteria.
- h. Validity of conclusions.

Documentation is prepared to indicate the results of meetings, deliberations and activities of the peer review process.

#### 6.0 PEER REVIEW REPORT

6.1 A report documenting the results of the peer review is prepared and issued under the direction of the peer review group chairperson and is signed by each peer review group member. The peer review report includes the following:

- a. A clear description of the work or issue that was peer reviewed.
- b. Conclusions reached by the peer review process.
- c. Individual statements by peer review group members reflecting dissenting views or additional comments, as appropriate.
- d. Listing of the peers and the technical qualification and evidence of independence for each peer, including potential technical and/or organizational partiality.

Note: Additional guidance related to this subject can be found in NUREG-1297, "PEER REVIEW FOR HIGH LEVEL NUCLEAR WASTE REPOSITORIES" (FEBRUARY, 1988).





CHANGE NOTICE

**APPROVED FOR  
INTERIM USE**

CN No.: R Appendix K-0-1

Affected Document: 033-YMP-R Appendix K, Rev.0

Prepared by: Raymond E. Hamati

Approved by: N/A  
(Technical Area Leader) (Date)

Approved by: RKD 2-7-91  
(YMP QA Manager) (Date)

Training Required:  
Yes  No

Approved by: J.R. Jardine 2/19/91  
(YMP Project Leader) (Date)

Currently Read as Follows:

1. Section 3.1 (b), Sentence before last: As published
2. Section 3.2 (c), Sentence before last: As published

**CHANGED TO READ:**

1. Section 3.1 (b), Sentence before last: "Indicate the quality controls to be applied and provide a rationale for any tests which are judged not to be subject to quality controls."
2. Section 3.2 (c), Sentence before last: "Indicate the quality controls that will be applied to the analysis and provide a rationale for any analyses that are judged not to be subject to quality controls."

**NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT**

NUCLEAR WASTE MANAGEMENT PROGRAM  
CONTROLLED COPY NO. 0100

No.: 033-YMP-R Appendix K

Revision: 0

Date: December 15, 1988

Page: 1 of 4

Subject: APPENDIX K - FORMAT AND CONTENT REQUIREMENTS  
FOR SCP STUDY PLAN

Approved: FEB 10 1989

Approved by: *A. Mellon* <sup>12/20/88</sup> Date  
Yucca Mountain Project Leader

Approved by: *R. G. E. Smith* <sup>12/16/88</sup> Date  
Quality Assurance Manager

## 1.0 PURPOSE AND OBJECTIVES OF STUDIES

1.1 Describe the information that will be obtained in the study. Briefly discuss how this information will be used; and

1.2 Provide the rationale and justification for the information to be obtained by the study. It can be justified by: 1) a performance goal and a confidence level in that goal (developed via the performance allocation process and results that will be described elsewhere in the SCP); 2) a design goal and a confidence level in that goal (design goals beyond those related to performance issues); 3) direct Federal, State, and other regulatory requirements for specific studies. Where relevant performance or design goals actually apply at a higher level than the study (e.g., where the goals apply to a group of studies), describe the relationship between this study and that higher level goal.

## 2.0 RATIONAL FOR SELECTED STUDY

2.1 Provide the rationale and justification for the selected tests and analyses (including standard tests). Indicate the alternative test and analytical methods from which they were selected, including options for type of test, instrumentation, data collection and recording, and alternative analytical approaches. Describe the advantages and limitations of the various options; and

2.2 Provide the rationale for the selected number, location, duration, and timing of tests with consideration to various sources of uncertainty (e.g., test method, interference with other tests, and estimated parameter variability). This rationale should also identify reasonable alternatives; summarize reasons for not selecting these alternatives, and reference if available, reports which evaluate alternatives considered.

2.3 Describe the constraints that exist for the study, and explain how these constraints affect selection of test methods and analytical approaches. Factors to be considered include:

- a) Potential impacts on the site from testing;
- b) Whether the study needs to simulate repository conditions;
- c) Required accuracy and precision of parameters to be measured with test instrumentation;
- d) Limits of analytical methods that will use the information from the tests;
- e) Capability of analytical methods to support the study;
- f) Time required versus time available to complete the study;
- g) The scale of the phenomena, especially the limitations of the equipment relative to the scale of the phenomena to be measured and the applicability of studies conducted in the laboratory to the scale of the phenomena in the field;
- h) Interrelationships of tests involving significant interference with other tests and how plans have been designed or sequenced to address such interference; and
- i) Interrelationships involving significant interference among tests and ESF design and construction, as appropriate (refer to Section 8.4 of the SCP or its references for specific ESF design information).

### 3.0 DESCRIPTION OF TESTS AND ANALYSES

3.1 Since studies are comprised of tests and analyses, provide for each type of test:

- a) Describe the general approach that will be used in the test. Describe key parameters that will be measured in the test and the experimental conditions under which the test will be conducted. Indicate the number of tests and their locations (e.g., spatial location relative to the site, ESF elements, repository layout, stratigraphic units, depth, and test location);
- b) Summarize the test methods. Reference any standard procedures (e.g., ASTM, APT) to be used. If any of the procedures to be used are not standard, or if a standard procedure will be modified, summarize the steps of the test, how it will be modified, and reference the technical procedures that will be followed during the test. If procedures are not yet available, indicate when they will be available. Indicate the level of quality assurance and provide a rationale for any tests which are not judged to be QA level I. Reference the applicable specific QA requirements that will be applied to the test;
- c) Specify the tolerance, accuracy, and precision required in the test, where appropriate;

No.: 033-YMP-R Appendix K	Revision: 0	Date: December 15, 1988	Page: 3 of 4
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- d) Indicate the range of expected results of the test and the basis for those expected results;
- e) List the equipment required for the test and describe briefly any such equipment that is special;
- f) Describe techniques to be used for data reduction and analysis of the results;
- g) Discuss the representativeness of the test including why the test results are considered representative of future conditions or the spatial variability of existing conditions. Also indicate limitations and uncertainties that will apply to the use of the results;
- h) Provide illustrations such as maps, cross sections, and facility design drawings to show the locations of tests and schematic layouts of tests, and
- i) Relationship of the test to the set performance goals and confidence levels.

### 3.2 For each type of analysis:

- a) State the purpose of the analysis, indicating the testing or design activity being supported. Indicate what conditions or environments will be evaluated and any sensitivity or uncertainty analyses that will be performed. Discuss the relationship of the analysis to the set performance goals and confidence levels;
- b) Describe the methods of analysis including any analytical expressions and numerical models that will be employed;
- c) Reference the technical procedures document that will be followed during the analysis. If procedures are not yet available, indicate when they will be available. Indicate the level of quality assurance that will be applied to the analysis and provide a rationale for any analyses that are not judged to be QA Level I. Reference the applicable QA requirements.
- d) Identify the data input requirements of the analysis;
- e) Describe the expected output and accuracy of this analysis; and
- f) Describe the representativeness of the analytical approach (e.g., with respect to spatial variability of existing conditions and future conditions) and indicate limitations and uncertainties that will apply to the results.

## 4.0 APPLICATION OF RESULTS

4.1 Briefly discuss where the results from the study will be used for the support of other studies (performance assessment, design, and characterization studies);

4.2 For performance assessment uses, refer to specific performance assessment analyses (described in Section 8.3.5 of the SCP) that will use the information produced from the studies described above, and refer to any use of the results for model validation;

No.:	Revision:	Date:	Page:
033-YMP-R Appendix K	0	December 15, 1988	4 of 4

4.3 For design uses, refer to, or describe where the information from the study described above will be used in construction equipment design and development, and engineering system design and development (e.g., waste package, repository engineering barriers, and shafts and borehole seals); and

4.4 For characterization uses, refer to, or describe where the information from the study described above will be used in planning other characterization activities.

#### 5.0 SCHEDULE AND MILESTONES

5.1 Provide the durations of and interrelationships among the principal activities associated with conducting the study (e.g., preparation of test procedures, test set-ups, testing data analyses, preparation of reports), and indicate the key milestones including decision points associated with the study activities;

5.2 Describe the timing of this study relative to other studies and other program activities that will affect, or will be affected by, the schedule for completion of the subject study, and

5.3 Dates for activities or milestones including durations and interrelationships, for the study plans will be provided. These should reference the master schedules provided in Section 8.5 of the SCP.

**OFFICE OF CIVILIAN  
RADIOACTIVE WASTE MANAGEMENT**

**QUALITY ASSURANCE AUDIT NO. YM-91-01**

**OF**

**LAWRENCE LIVERMORE NATIONAL LABORATORY**

**AUDIT CHECKLIST NO. 91-01-01**

**PAGES 1 THROUGH 175**

**CHECKLIST APPROVED BY:**

  
\_\_\_\_\_

**FRANK J. KRATZINGER - AUDIT TEAM LEADER**

**DATE:**

    MAY 16, 1991

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 2 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
1-1	033-YMP-R1, Rev. 0, para. 1.0; para. 2.3  033-YMP-QP 1.0, Rev. 1 para. 1.04	<p align="center"><b>QA RESPONSIBILITIES ORGANIZATIONAL STRUCTURE</b></p> <p>1. Verify that the organization structure, lines of communication, authority and assigned functional responsibilities of persons and organizations performing activities affecting quality are established as described in this procedure and its Exhibits A, B, and C depicting organizational structure and staffing charts.</p> <p>2. Verify that Exhibits A, B, C agree with Figure 1.01, 1.02, and the appendix of 033-YMP-R1, Rev. 0.</p>			
				9 AUDITOR SIGNATURE _____	10 DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 3 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
1-1 Cont.	032-YMP-QP 1.0 Rev. 1, para. 1.0.5.1          para. 1.0.5.2	3. Verify that the QA Manager assures that independent verification of quality attainment, QA program implementation and its continued effectiveness is accomplished.          4. Verify that the YMP Leader defines procedures and requirements necessary to assure achievement of quality objectives.			
				<div style="display: flex; justify-content: space-between;"> <span>9 AUDITOR SIGNATURE _____</span> <span>10 DATE _____</span> </div>	



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 4 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,NA	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
1-1 Cont.	033-YMP-QP 1.0, Rev. 1, para. 1.0.5.2	5. Verify that the YMP Leader communicates on a regular basis with the QA Manager regarding the effectiveness and adequacy of the YMP QA Program.			
	para. 1.0.1	6. What mechanism is used by the YMP Leader to communicate with the DOE Project Office Manager the status of the QA Program?			
				9 AUDITOR SIGNATURE _____ 10 DATE _____	



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 6 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
1-2	033-YMP-R1, Rev. 1, para. 2.0  033-YMP-QP 2.7, Rev. 1 Para. 2.7.3  033-YMP-QP 2.7, Rev. 1 para. 2.7.5	<p align="center">QA FUNCTION</p> <p>1. Verify that when an occasion occurred that a Stop Work Order was required, the QA Manager monitored the provisions of this procedure to verify that the Stop Work Order and the appropriate corrective action was correctly implemented.</p> <p>2. Review the Stop Work Order documentation which maybe stored as QA records when all effort is completed and the order has been rescinded and verify the records required by Para. 2.7.5 are in order . If there is not any records packages completed, review "in process" documentation.</p>			
				9 AUDITOR SIGNATURE _____	10 DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 7 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
1-3	033-YMP-R1, Rev. 0, para. 2.2  033-YMP-QP 1.0, Rev. 1 para. 1.0.5.5	<p align="center"><b>AUTHORITY</b></p> <p>1. Verify that authority for the resolution of disputes involving quality arising from a difference of opinion between QA personnel and others is identified. What mechanism is used to identify this authority? Is this proceduralized?</p> <p>2. Verify through interviews with LLNL personnel that there is acknowledgment of the ability of QA personnel to elevate the resolution of disputes to progressively higher organization levels through established channels to the DOE Project Quality Assurance Manager, if the dispute cannot be resolved within the LLNL-YMP.</p>			
				9 AUDITOR SIGNATURE _____	10 DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 8 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
1-4	033-YMP-R1, Rev. 0, para. 3.2  033-YMP-QP 1.0 Rev. 1, para. 1.0.5.5	<p align="center">VERIFICATION</p> <p>1. Verify that the QA Manager:</p> <p>a. Has sufficient organizational freedom and independence from cost and schedule considerations to assure that an appropriate QA program is established and maintained.</p> <p>b. Has appropriate management and QA knowledge and experience and is at the same or higher as the highest line manager responsible for performing activities affecting quality. Review the QA Manager's Resume and Position Descriptions.</p>			
<p align="right">9 AUDITOR SIGNATURE _____ 10 DATE _____</p>					



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 10 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
1-5	033-YMP-R1, Rev. 0, para. 4.1  033-YMP-QP 1.0, Rev. 1 para. 1.0.6	<p align="center">DOCUMENTATION OF INTERFACES</p> <p>1. Verify that:</p> <p>a. In tasks requiring the involvement of activities affecting quality by multiple organizations, responsibility and authority of each organization is established and documented</p> <p>b. Interface controls established, include the assignment of responsibility and establishment of procedures for review, approval, release, distribution and revision of interface documents in particular YMP and other LLNL organizations and YMP and its subcontractors (in accordance with written procedures) and with other participating contractors.</p>			
				9 AUDITOR SIGNATURE _____	10 DATE _____





**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 12 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,NA	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
2-2	QP 18.0, Rev. 2, Para. 18.0.5.1.3	1. Verify that quality audits and surveillances of subcontractor QA Programs are conducted by LLNL-YMP to verify the adequacy of compliance of QA programs.  2. Verify that audits of subcontractors are performed in accordance with a published audit and at least annually.			
				9 AUDITOR SIGNATURE _____	

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 13 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
2-3	QP 2.2, Rev. 0, Para. 2.2.5	1. Verify peer reviews are conducted in accordance with a peer review plan and comments and recommendations of the peer review report have been acceptably resolved or have been documented as unresolved in the final report of the work reviewed. (See procedure for details)			
2-4	Para. 2.2.6	1. Verify that the documents required by Para. 2.2.6 were stored and maintained as QA records.			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 14 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
2-5	QP 2.3, Rev. 0, Para. 2.3.2 and 2.3.3	<p>1. Verify that management assessments are conducted at least annually for the evaluation of LLNL-YMP performance in:</p> <ul style="list-style-type: none"> <li>a. training with respect to QA requirements;</li> <li>b. effectiveness of the QA program; and</li> <li>c. adequacy of resources provided for the QA program.</li> </ul> <p>2. Verify that the YMP QA Manager monitors the implementation of this procedure to assure continued effectiveness of the applicable controls and follows up activity to close action items assigned as a result of these assessments.</p>			
				9 AUDITOR SIGNATURE _____	10 DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 15 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED	
2-5 Cont'd	QP 2.3, Rev. 0, Para. 2.3.4 and 2.3.5	<p>3. Verify that the effectiveness of the QA program is based on assessment of reviews of audit reports, nonconformance reports, surveillance reports, QA reports, project reports and interviews. Verify that assessments will evaluate:</p> <ul style="list-style-type: none"> <li>a. status of training with respect to QA requirements;</li> <li>b. assessment of the effectiveness of the QA program; and</li> <li>c. the adequacy of resources provided to the QA program.</li> </ul> <p>4. Verify that the assessment report will include as a minimum, the QA record documenting:</p> <ul style="list-style-type: none"> <li>a. the YMP leader's memo designating the management assessment team members and approval of the assessment scope;</li> <li>b. the management assessment worksheets;</li> <li>c. the management assessment report; and</li> <li>d. the closure memo.</li> </ul>				
				9 AUDITOR SIGNATURE	10 DATE	

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

<sup>1</sup> ORGANIZATION LLNL

<sup>2</sup> Page 16 of 175

<sup>3</sup> AUDIT ITEM NO.	<sup>4</sup> QUALITY REQUIREMENT REFERENCE(S)	<sup>5</sup> QUALITY REQUIREMENT/GUIDELINE	<sup>6</sup> RESULTS S,X,N/A	<sup>7</sup> SUMMARY OF INVESTIGATION	<sup>8</sup> PERSON CONTACTED
2-6	QP 2.6, Rev. 1, Para. 2.6.4.1, 2.6.4.2 and 2.6.4.3	<ol style="list-style-type: none"> <li>1. Verify that readiness reviews are conducted in accordance with the requirements of Para. 2.6.4 which will include as a minimum the following:                             <ol style="list-style-type: none"> <li>a. the Deputy Project Leader identifies the need and assigns and schedules completion of the review;</li> <li>b. Readiness reviewers complete a readiness review checklist (Exhibit A);</li> <li>c. when the readiness is complete and if acceptable, the reviewers will sign the checklist; and</li> <li>d. if exceptions cannot be readily resolved, the checklist will be forwarded to the Deputy Project Leader for resolution.</li> </ol> </li>   <li>2. Verify that Document Control assigned a unique identifier to each readiness review document for maintaining a master log and for retaining the document in record files. Then the QA records are collected, stored and maintained as Quality Records.</li> </ol>			
				<sup>9</sup> AUDITOR SIGNATURE _____	<sup>10</sup> DATE _____



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 18 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
2-8	QP 2.9, Rev. 2 Para. 2.9.5	1. Verify that the personnel were trained on specific QA procedures prior to performing activities that affect quality as determined by the Technical Area Leader and Training Coordinator.  2. Verify that a Training Matrix is used for training of personnel and is completed within 60 days of the date of certification.  3. Verify that Exhibits A and D were completed.			

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

<sup>1</sup> ORGANIZATION LLNL

<sup>2</sup> Page 19 of 175

<sup>3</sup> AUDIT ITEM NO.	<sup>4</sup> QUALITY REQUIREMENT REFERENCE(S)	<sup>5</sup> QUALITY REQUIREMENT/GUIDELINE	<sup>6</sup> RESULTS S,X,N/A	<sup>7</sup> SUMMARY OF INVESTIGATION	<sup>8</sup> PERSON CONTACTED
2-9	QP 2.9, Rev. 2, Para. 2.9.7	1. Verify that retraining was performed when procedures, Technical Implementing Procedures or planning documents were revised.  2. Verify that all change notices are evaluated by the QA Manager and if retraining is assessed to be appropriate, the QA Manager notifies the Training Coordinator.  3. Verify when the Training Coordinator is so notified, he performs the required retraining.			
				<sup>9</sup> AUDITOR SIGNATURE _____	



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 20 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
2-10	QP 2.10, Rev. 2, Para. 2.10.4.1, Exhibit A	<p>1. Select three LLNL managers/supervisors and three employees that each manager/supervisor had selected as personnel to perform or verify activities that affect quality and verify the following actions were completed by the manager/supervisors and potential employee:</p> <p>a. A position description prescribing the minimum qualification requirements shown on Exhibit A was prepared and approved by the manager/supervisor on line 9 and approved by the organization manager on line 9 which doesn't show on the sample form (page 4 of 9).</p>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 21 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
2-11 Cont'd	QP 2.10, Rev. 2, Para. 2.10.4.2, Exhibit B	<p>b. A personal resume for a project-position candidate was prepared by the candidate by completing Exhibit B.</p> <p>c. The personal resume was verified by confirmatory documentation obtained by LLNL Human Resources Division.</p>			
2-12	QP 2.10, Rev. 2, Para. 2.10.4.3, Exhibit C	d. A Management Certification is performed per this requirement paragraph by completion of Exhibit C.			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 22 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
2-13	QP 2.10, Rev. 2, Para. 2.10.4.4	1. Verify that a Management Recertification was annually performed and Exhibit D was completed for five (5) persons by five (5) managers/supervisors.			
2-14	Para. 2.10.5	1. Verify that personnel qualification records are filed in a combination-lock fire-proof repository in the Training Office.  2. Review at least five (5) personnel qualification records packages and verify that they contained the following:  a. Position Description; b. Personal Resume; c. Management Certification; and d. Management Re-certification (as applicable).			
				9 AUDITOR SIGNATURE	10 DATE







**OCRWM AUDIT CHECKLIST NO. 91-01-01**

<sup>1</sup> ORGANIZATION LLNL

<sup>2</sup> Page 26 of 175

<sup>3</sup> AUDIT ITEM NO.	<sup>4</sup> QUALITY REQUIREMENT REFERENCE(S)	<sup>5</sup> QUALITY REQUIREMENT/GUIDELINE	<sup>6</sup> RESULTS S,X,N/A	<sup>7</sup> SUMMARY OF INVESTIGATION	<sup>8</sup> PERSON CONTACTED
3-1	033-YMP-R 3 para. 1.1.1.1  033-YMP-QP 3.0 para. 3.0.4	<p><b>QP 3.0 SCIENTIFIC INVESTIGATION CONTROL</b></p> <p>A description of the work to be performed in the scientific investigation and the proposed methodology for accomplishing the work, including a discussion of the overall purpose of the work, is provided in the scientific investigation planning documents. ...</p> <p>Before work begins, i.e., before data is (sic) generated, analysis is performed or conclusions are reached, the work is planned, reviewed and approved by preparation of one or more of the work planning documents: Scientific Investigation Plans (SIPs), Study Plans (for Site Characterization activities) (SPs), and Activity and Test Plans.</p> <p>1. Verify that all work planning documents have been reviewed and approved.</p>			
3-2	paras. 3.0.4.1 and 3.0.4.2	<p>SIPs and SPs contain a description of the activities to be performed and include a discussion of the overall purpose and objectives, applicable regulations, QA requirements, performance criteria, issues, information needs from higher level scientific investigation planning documents or Work Breakdown Structure (WBS) items. ....The intent to use scientific notebooks and the purpose for their use is identified in the SIP or SP.</p> <p>1. Verify that all SIPs and SPs conform to the above.</p>			

<sup>9</sup> AUDITOR SIGNATURE \_\_\_\_\_

<sup>10</sup> DATE \_\_\_\_\_

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 27 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-3	para. 3.0.4.3	<p>ACTIVITY PLANS. Activity Plans describe the specifics of how an activity is to be performed and typically provide more detail than a SIP or SP. Prior to initiating work, an Activity Plan is prepared for each Quality Affecting activity or combination of activities identified.</p> <p>TEST PLANS. In some cases, Test Plans describe the detailed process of conducting research, including test matrices and experimental protocols. The Activity Plan is the parent document. (Revision numbers and dates not required if Activity Plan reference.)</p> <p>1. Verify that each SIP or SP has an associated Activity Plan and that if that plan references any associated test plan.</p>			
3-4	<p>033-YMP-R 3 para. 1.2.2 and 1.3.2</p> <p>033-YMP-QP 3.0 paras. 3.0.4.1 and 3.0.4.2</p>	<p>The DOE Project Office Quality Assurance Manager and the appropriate Project Office Branch Chief review and approve the scientific investigation planning document (both SIPs and SPs) prior to implementation.</p> <p>The SIPs are submitted to the DOE Project Office for Approval. Study Plans are approved by YMP, the DOE Project Office, and by the Office of Civilian Radioactive Waste Management (OCRWM) prior to use.</p> <p>1. Verify Project Office approvals of SIPs and SPs.</p>			

9 AUDITOR SIGNATURE \_\_\_\_\_ 10 DATE \_\_\_\_\_



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 28 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-5	033-YMP-R 3 para. 1.3.1  033-YMP-QP 3.0 para. 3.0.4.3	<p>The LLNL-YMP conducts a technical review of the scientific investigation planning document.</p> <p>Activity Plans are prepared, reviewed, and approved by LLNL-YMP. For work performed under the LLNL QAPP, the Test Plan review and approval process is the same as for an Activity Plan.</p> <p>1. Verify review and approval of each Activity and Test Plan.</p>			
3-6	033-YMP-R 3 para. 1.6.2  033-YMP-QP 3.0 para. 3.0.5 and 3.0.8	<p>Detailed technical implementing procedures together with appropriate logbooks and other supporting documents are used whenever the work is repetitive.</p> <p>TIPs are documented, approved procedures that provide detailed direction for the performance of work. They include instructions, procedures, plans, sketches, drawings or other information to define and control operations which do not require technical judgment and may be performed by qualified personnel.</p> <p>1. Verify that TIPs are reviewed for approval and that any major change is reviewed prior to implementation.</p>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 29 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-7	033-YMP-R 3 para. 1.9.1	Planning for verification activities is accomplished and documented via verification procedures, instructions, and checklists.			
	033-YMP-QP 3.0 para. 3.0.7	<p>Verification of scientific investigation is accomplished through technical review ... and/or surveillances.</p> <p>As appropriate, Peer reviews can be used....</p> <p><b>MEANS FOR VERIFICATION AND THE INDIVIDUALS OR GROUPS RESPONSIBLE FOR PERFORMING THE VERIFICATION ARE PRESCRIBED IN THE ACTIVITY PLAN.</b></p> <p>Close-out verification is handled in accordance with QP 3.3 .</p> <ol style="list-style-type: none"> <li>1. Verify that verification activities have been carried out, if applicable.</li> <li>2. Verify that responsibilities for verification are identified in activity plans.</li> </ol>			
					9 AUDITOR SIGNATURE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 30 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-8	033-YMP-R 3 para. 1.9.2	Mandatory verification hold-points are established as necessary.			
3-9	033-YMP-QP 3.0 para. 3.0.9	A hold point is established when it is appropriate that work not continue until after review has been completed. .... Waiver of a specified hold point is approved by the QA Manager and documented before work can proceed beyond the designated hold point.  1. If a hold point is established by an Activity Plan, verify the above rules were followed.			
	033-YMP-R 3 para. 1.8.1	.... Interface controls include the assignment of responsibility and the establishment of procedures for the review, approval, release, distribution and revision of documents involving scientific investigation interfaces.			
	033-YMP-QP 3.0 para. 3.0.10	The Principal Investigator/Task Leader identifies in the planning documents any interfaces and interface controls which transcend boundaries between LLNL technical areas... (may be in the form of TIPS.) Ongoing field or laboratory scientific investigations must be identified to preclude inadvertent interruption and to ensure operational compatibility. Such identification (must be) clearly evident at the location.  1. Verify that interface controls have been established as described.			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 31 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-10	033-YMP-R 3 para. 1.7  033-YMP-QP 3.0 para. 3.0.11	<p>All changes in scientific investigation planning documents go through the same review and approval process as specified in Paragraph 1.3. The LLNL-YMP is responsible for evaluating the impacts of such changes on the associated Quality Assurance level assignments.</p> <p>When (change is necessary) the work planning documents are up[dated and approved by revision or change notice procedure.</p> <p>Impact ... on QA grading are assessed.....</p> <p>Revisions (outside the scope of controlling document) require revision of the controlling document.</p> <ol style="list-style-type: none"> <li>1. Ascertain the time interval allowed to revise controlling documents.</li> <li>2. Verify whether changes to work plans have occurred in the stated manner.</li> </ol>			
				9 AUDITOR SIGNATURE _____	

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 32 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-11	033-YMP-R 3 para. 1.12  033-YMP-QP 3.0 para. 3.0.12	<p>The LLNL-YMP performs a close-out verification upon the completion of any scientific investigation to assure that the QA records .. are adequate and complete..... (These) are performed by a team consisting of qualified technical personnel as well as QA personnel.</p> <p>Results of activities are documented in sufficient detail as to purpose, method, assumptions, input, references, and units such that a technically qualified person may review, understand, and VERIFY the analysis without recourse to the originator.</p> <p>1. Verify that any close-out verification addresses the documentation requirements in para. 3.0.12 of QP 3.0.</p>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 33 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-12	033-YMP-R 3 para. 1.6.3  033-YMP-QP 3.4	<p>QP 3.4 SCIENTIFIC NOTEBOOKS</p> <p>Scientific notebooks along with other appropriate documents may be used to document scientific investigations and experiments. {Doc. must be sufficient to permit another qualified scientist to retrace the investigation.}</p> <p>The LRC shall issue all YMP Scientific Notebooks and each shall be marked with a unique identifier. The LRC shall keep a record. {name and date}.</p> <p>1. Verify that all notebooks have a unique identifier as established by the LRC.</p>			
3-13	033-YMP-R 3 para. 1.6.4.1  033-YMP-QP 3.4	<p>INITIAL ENTRIES. Where appropriate, and prior to initiation of the experiment or research, initial entries are made .</p> <p>Initial entries are made by the investigator as listed.</p> <p>1. Verify that all notebooks in use have the prescribed entries.</p> <p>{ASCERTAIN THE INTENT OF "AS APPROPRIATE" IN THE QAPP}.</p>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 34 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-14	033-YMP-R 3 Para. 1.6.4.2  033-YMP-QP 3.4	<p>Entries made during the experiment or research .... are sufficiently detailed so that another competent (person) could repeat the experiment or research.</p> <p>{All notebook entries shall be in a TABLE OF CONTENTS, be in permanent ink, avoid excessive blank space, use single line-out error correction, reference any changes in initial entries or referenced documents, use LRC ID numbers of other records created during the work, and signature and date for each entry.</p> <p>1. Verify that all notebooks have entries as described in QP 3.4.</p>			
3-15	033-YMP-R 3 para. 1.6.4.3  033-YMP-QP 3.4	<p>The final entries in the record (notebook) have, as a minimum, the signature of the experimenter and the signature of a competent technical reviewer.</p> <p>Final Scientific Notebook entries shall include signatures of the scientific notebook custodian and a Technical Reviewer prior to the final submittal ... to the LRC.</p> <p>1. Verify that any notebooks submitted to the LRC have the required signatures.</p>			
				9 AUDITOR SIGNATURE _____	10 DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 35 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-16	NONE  033-YMP-QP 3.4	<p>TL REVIEW. The Scientific Notebook shall be reviewed by the TL at least annually, at the completion of the Scientific Notebook, and at the completion of the activity. (If investigator is a TL or TAL a TL review isn't required.)</p> <p>1. Verify TL review of notebook if custodian is not a TL or TAL.</p>			
3-17	033-YMP-R 3 para. 1.6.4.3  033-YMP-QP 3.4	<p>Same as for Item 3-15</p> <p>Scientific Notebooks shall; be technically reviewed by a Scientific Notebook Technical Reviewer who is selected by the TL. A Review is required when the Scientific Notebook is full and also when the activity has been completed.</p> <p>1. Verify that a Technical Reviewer has signed and dated any full or otherwise completed notebook.</p>			
				9 AUDITOR SIGNATURE	10 DATE



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 36 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-18	033-YMP-QP 3.1, Rev. 0, Para. 3.1.5.1	<p>033-YMP-QP 3.1, REVISION 0, "DESIGN CONTROL"</p> <p>Prior to the initiation of design activities associated with the LLNL-YMP, QA Grading of each activity is performed.</p> <p>1. Verify that QA Grading has taken place prior to the initiation of design activities.</p>			
	033-YMP-QP 3.1, Rev. 0, Para. 3.1.5.1	<p>In the case of an activity of which an external YMP organization has primary responsibility, the QA Grading performed by that organization is applied to the work.</p> <p>1. Verify that work performed external to the YMP organization is subjected to QA Grading.</p>			
				9 AUDITOR SIGNATURE	10 DATE



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 38 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-19 (cont)	033-YMP-QP 3.1, Rev. 0, Para. 3.1.5.2	<p>Changes to approved design inputs, including the reasons for the changes, are identified, approved, controlled, and documented as revision controlled documents.</p> <p>1. Verify that changes and the reasons for changes are identified, approved, controlled, and documented as revision controlled documents.</p>			
3-20	033-YMP-QP 3.1, Rev. 0, Para. 3.1.5.3	<p>Interface information exchanged between organizations is identified, approved, documented, and controlled.</p> <p>1. Verify that interface information is identified.</p>			

9 AUDITOR SIGNATURE \_\_\_\_\_

10 DATE \_\_\_\_\_

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

<sup>1</sup> ORGANIZATION LLNL

<sup>2</sup> Page 39 of 175

<sup>3</sup> AUDIT ITEM NO.	<sup>4</sup> QUALITY REQUIREMENT REFERENCE(S)	<sup>5</sup> QUALITY REQUIREMENT/GUIDELINE	<sup>6</sup> RESULTS S,X,N/A	<sup>7</sup> SUMMARY OF INVESTIGATION	<sup>8</sup> PERSON CONTACTED
3-21	O33-YMP-QP 3.1, Rev. 0, Para. 3.1.5.4	<p>Design analysis is documented in sufficient detail to describe that purpose, method, assumptions, and design inputs utilized, such that a technically qualified person can verify the analysis without recourse to the originator.</p> <p>1. Verify that analysis is repeatable without recourse to the originator.</p>			
	O33-YMP-QP 3.1, Rev. 0, Para. 3.1.5.4	<p>Calculations are identifiable by subject (including structure, system, or component), originator, reviewer, date, and other appropriate data.</p> <p>1. Verify that calculations are identifiable by subject, originator, reviewer, date, and other appropriate data.</p>			
				<sup>9</sup> AUDITOR SIGNATURE _____	<sup>10</sup> DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 40 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-21 (cont)	O33-YMP-QP 3.1, Rev. 0, Para. 3.1.5.4	<p>Documentation of design analysis includes the following:</p> <ul style="list-style-type: none"> <li>a. definition of the objective of the analysis;</li> <li>b. listing of the qualified YMP or subcontractor personnel performing the reference to documentation of personnel qualification;</li> <li>c. definition of design inputs and their sources;</li> <li>d. listing of applicable references, including the source of the analytical method or technique;</li> <li>e. results of literature searches or other applicable background data;</li> <li>f. identification of assumptions and indication of those that require verification as the design proceeds;</li> <li>g. identification of any computer calculation, including computer type, program name, revision, input, output, evidence of program verification, and the bases of application to the specific problem; and</li> <li>h. evidence of review and approval.</li> </ul> <p>1. Verify that design analysis documentation includes the above ("a" through "h").</p>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 41 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-22	033-YMP-QP 3.1, Rev. 0, Para. 3.1.5.5	<p>Design verifications are performed prior to release for procurement, manufacture, construction, or release to another organization for use in other design activities.</p> <p>1. Verify that design verifications are performed prior to release for procurement, manufacture, construction, or release to another organization for use in design activities.</p>			
	033-YMP-QP 3.1, Rev. 0, Para. 3.1.5.5	<p>Where changes to previously verified designs have been made, design verification is required for the changes, including evaluation of the effects of those changes on the overall design.</p> <p>1. Verify that design verification has taken place when changes are necessary.</p>			
				<p>9 AUDITOR SIGNATURE _____</p>	

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 42 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,NA	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-22 (cont)	033-YMP-QP 3.1, Rev. 0, Para. 3.1.5.5	<p>Design verifications are performed by qualified personnel other than the originator.</p> <p>1. Verify that design verifications are performed by qualified personnel other than the originator.</p>			
3-23	033-YMP-QP 3.1, Rev. 0, Para. 3.1.5.6	<p>The same organization that reviewed and approved the original design reviews and approves any changes.</p> <p>1. Verify that changes are reviewed and approved by the same organization that reviewed and approved the original.</p>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 43 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-24	033-YMP-QP 3.3, Rev. 1, Para. 3.3.4	<p>033-YMP-QP 3.3, REVISION 1, "REVIEW OF TECHNICAL PUBLICATIONS"</p> <p>Draft reports that fall within the scope of this procedure undergo six reviews before they can be submitted to the Laboratory's Technical Information Department for release or publication, (see Section 3.3.6.2 for technical reports form YMP subcontractors).</p> <p>The six review steps are:</p> <ol style="list-style-type: none"> <li>1. For technical content,</li> <li>2. for technical approval,</li> <li>3. for project approval,</li> <li>4. for DOE YMPO acceptance,</li> <li>5. for YMP administrative approval, and,</li> <li>6. for QA procedure approval.</li> </ol> <ol style="list-style-type: none"> <li>1. Verify that publications go through the above six steps prior to release.</li> </ol>			
				9 AUDITOR SIGNATURE	10 DATE



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 44 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,NA	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-25	033-YMP-QP 3.3, Rev. 1, Para. 3.3.5.1	<p>The Responsible Author prepares an attachment (Exhibit A) stating whether or not the report includes data for the TDB RIB, uses RIB data, meets a PACS milestone, or is supported by scientific notebooks.</p> <p>1. Verify that the Responsible Author properly prepares an Exhibit A as required above.</p>			
	033-YMP-QP 3.3, Rev. 1, Para. 3.3.5.1	<p>The attachment is included in the record package, but is not published as part of the report.</p> <p>1. Verify that the attachment (Exhibit A) is included in the review record package.</p>			
				<p>9 AUDITOR SIGNATURE _____</p>	



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

<sup>1</sup> ORGANIZATION LLNL

<sup>2</sup> Page 46 of 175

<sup>3</sup> AUDIT ITEM NO.	<sup>4</sup> QUALITY REQUIREMENT REFERENCE(S)	<sup>5</sup> QUALITY REQUIREMENT/GUIDELINE	<sup>6</sup> RESULTS S,X,N/A	<sup>7</sup> SUMMARY OF INVESTIGATION	<sup>8</sup> PERSON CONTACTED
3-25 (cont)	033-YMP-QP 3.3, Rev. 1, Para. 3.3.5.1	Regardless of method, both the comments and their resolutions are made part of the review record.  1. Verify that all comments and resolutions are part of the review record.			
3-26	033-YMP-QP 3.3, Rev. 1, Para. 3.3..2	Approval of the draft is signified by the reviewer's signature in the "Technical Approval" signature block of the Review Record.  1. Verify that the Technical Approval has been received on the Review Record.			
				<sup>9</sup> AUDITOR SIGNATURE _____	<sup>10</sup> DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 47 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-27	033-YMP-QP 3.3, Rev. 1, Para. 3.3.5.3	<p>The third review is conducted by the Deputy Project Leader or an alternate designee assigned by the Project Leader. ...Comments are made and resolved...approval is signified by signature in the appropriate signature block of the Review Record.</p> <p>1. Verify that all comments made are resolved and the Deputy Project Leader's signature is on the Review Record.</p>			
3-28	033-YMP-QP 3.3, Rev. 1, Para. 3.3.5.4	<p>The Publications Manager drafts a letter for the YMP Leader's signature transmitting these responses back to the DOE. When acceptance is obtained, the date of the DOE acceptance is written in the appropriate space on the Technical Report Review Record.</p> <p>1. Verify that the above stipulations are satisfied for DOE acceptance.</p>			
3-29	033-YMP-QP 3.3, Rev. 1, Para. 3.3.5.5	<p>Administrative approval is signified by the YMP Leader's signature in the appropriate signature block on the Review Record.</p> <p>1. Verify that administrative approval has been obtained.</p>			

9 AUDITOR SIGNATURE

10 DATE



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 49 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-31	033-YMP-QP 3.3, Rev. 1, Para. 3.3.6.2	<p>Technical Documents from YMP Subcontractors - In the case of those who have their own review procedure, YMPs Technical Contact would have the role of a reviewer in much the same manner as YMP includes DOE Project Office acceptance in its review procedure.</p> <p>1. Verify that the YMP Technical Contact acts as a reviewer for publications by subcontractors that have their own review procedure.</p>			
	033-YMP-QP 3.3, Rev. 1, Para. 3.3.6.2	<p>Subcontractors who do not have their own technical document review procedure are required to follow the steps of this procedure.</p> <p>1. Verify that subcontractors that do not have their own review procedure adhere to this LLNL YMP procedure.</p>			
	<p>9 AUDITOR SIGNATURE _____ 10 DATE _____</p>				

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 50 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-32	033-YMP-QP 3.5, Rev. 0, Para. 3.5.5.2	<p>033-YMP-QP 3.5, REVISION 0, "CONTROL OF INTERNAL TECHNICAL INTERFACES"</p> <p>Document Control: Assigns a unique number to the Technical Information Transmittal Form (TITF) and initiates the TITF log entry.</p> <p>1. Verify that Document Control has assigned a unique number to TITFs and that there is a functional TITF log.</p>			
3-33	033-YMP-QP 3.5, Rev. 0, Para. 3.5.5.4	<p>Technical Area Leader (originating organization): Assures that the TITF and information being transferred are complete and correct, and completes distribution.</p> <p>1. How is this assured?</p> <p>2. Is it being done?</p>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 51 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-34	033-YMP-QP 3.5, Rev. 0, Para. 3.5.5.6	Technical Area Leader (originating organization): Approves the transmittal.  1. Verify that the Technical Area Leader of the originating organization has approved the transmittal of the TITF.			
3-35	033-YMP-QP 3.5, Rev. 0, Para. 3.5.5.7	Technical Area Leader (affected organization): Approves the TITF.  1. Verify that the Technical Area Leader of the affected organization has approved the TITF.			
				9 AUDITOR SIGNATURE	10 DATE





**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 53 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-37 (3-A-2)	QARD, Rev. 4 para. 19.1  LLNL-YMP SQAP Rev. 0, Para. 1.0 LLNL-YMP QP 3.2	<p>Each organization participating in the YMP project shall prepare a description of their software design, test, and configuration management system and submit it to the next higher program level for review and approval. ....(6 bullets)</p> <p>This document is the subject description.</p> <p>1. Verify that the document has been approved by YMPO.</p> <p>Effective date: _____</p>			
				9 AUDITOR SIGNATURE _____	10 DATE _____





**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 56 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-40 (cont)		1. Verify the existence of configuration Master Log with unique configuration identifiers.			
		2. Verify that the Configuration Item Baseline Document exists.			
		3. Verify that a Software Product Baselines with unique identifiers exists.			

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 57 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-40 (cont)		4. Verify that any existing actions were accomplished under configuration change control by the Software Quality Manager (SQM).			
		5. Verify that all user's were notified of any corrective actions taken (use Distribution Log to identify if necessary).			
		6. Verify that a summary of all work done on each software configuration item is entered in the development log by the Software Engineer.			

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 58 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-41	LLNL-YMP SQAP R0, Paras. 4.2.2, 4.3           LLNL-YMP QP 3.5	<p>Error Report/Change Request Tracking (ER/CRT) System Procedure(s) address the process of correcting errors or making changes, including additions of code in accordance with Section 6.0, to the configuration item or software product.</p> <p>1. Verify that any changes to software were assessed for impact, evaluated, coordinated, and baseline updated. (Examine the Master Log.)</p> <p>2. Verify that affected users were notified in accordance with QP 3.5, "Control of Internal Technical Interfaces".</p>			
				9 AUDITOR SIGNATURE _____	





**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 60 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-42 (cont)		3. Verify the existence of Configuration Reviews and/or Configuration Audits.           4. Verify the location of the Software Records Management System.			

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 61 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-43	LLNL-YMP SQAP R0, Paras. 6.2.3.D and 6.3.4	<p>The test, debug, and verification phase of software development tests, debugs, and verifies the program (i.e. source code) to determine whether the code accurately performs the requirements described in the SRS.</p> <p>1. Verify that life cycle documentation contains a software test and verification plan/report for each software including those acquired or existing (if called for by the ISP).</p>			
				9 AUDITOR SIGNATURE _____	10 DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 62 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-44	LLNL-YMP SQAP R0, Paras.:  6.2.3.D  6.8, QP 3.0  6.4, 6.5  4.2, 6.8	<p>Validation is the process of judging that a model is a sufficiently accurate representation of a real system for a specified application.....</p> <p>All software quality requirement efforts for a task (activity) must be completed before the results... are used in support of an application for a license from the Nuclear Regulatory Commission.</p> <ol style="list-style-type: none"> <li>1. Verify existence of software verification reports.</li> <li>2. Verify existence of model validation reports.</li> <li>3. Verify existence of technical and peer review reports, each with a software review plan.</li> <li>4. Verify action taken to resolve defects and and deficiencies.</li> </ol>			
				9 AUDITOR SIGNATURE	10 DATE





**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 65 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-47	LLNL-YMP SQAP R0, Para. 6.5	<p>Appendix D contains the Software Documentation Checklist for SES documentation required by NUREG-0856.</p> <ol style="list-style-type: none"> <li>1. Verify that documentation includes mathematical derivations, physical models, etc.</li> <li>2. Verify that documentation includes all phase documentation.</li> <li>3. Verify that documentation includes code listings.</li> <li>4. Verify that documentation includes sufficient instruction to permit replication by an independent user.</li> <li>5. Verify that the documentation is a QA record. per paragraph 6.9.4.</li> </ol>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 66 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-48	LLNL-YMP SQAP R0, Para. 6.9.2 and 6.9.4	<p>As implemented at LLNL, software configuration management is the LLNL management process for: (1) assuring that the product is accurately described by the descriptive planning and product control documents; (2) assuring that changes are subject to a revision control process which provides comparable verifications and approvals as the original; and (3) providing status identification on the product, or on documentation traceable to the product.</p> <p>1. Verify that documentation on the software Records Management System has been received by the Local Records Center.</p> <p>2. Verify that contents of packages (folders) contain the above information as a minimum. (CSA) For finished products, the packages should include completion memos and Software Product Summaries.</p>			
				9 AUDITOR SIGNATURE	10 DATE









**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 70 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-52	LLNL-YMP SQAP R0, Para. 6.2.3.D	<p>The Test, . Debug, and Verification phase of software development tests, debugs, and verifies the program (i.e. source code) to determine whether the code accurately performs the requirements described in the SRS. All verification activities will be documented. Verification shall assure that the software performs the intended function and does not perform any degrading or unintended functions.</p> <ol style="list-style-type: none"> <li>1. Verify the completion of a software test and Verification Plan/Report (STVP/R).</li> <li>2. Verify that the STVP/R is under a Configuration Management Baseline.</li> <li>3. Verify that the STVP/R describes the results of V and V tests.</li> </ol>			
				9 AUDITOR SIGNATURE	10 DATE



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 72 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-54	LLNL-YMP SQAP R0, Para. 6.9.5	<p>The TL responsible for the software product is responsible for the post-release maintenance. Post-release maintenance consists of investigating, documenting, and resolving errors and changes (either in the software or the associated documentation) that are reported by Registered Users.</p> <ol style="list-style-type: none"> <li>1. Verify that a formal discrepancy procedure exists. (question the TLs.)</li> <li>2. Verify that the maintenance phase has been implemented (Examine the Registered User's Distribution Log for signs of activity.)</li> </ol>			
				9 AUDITOR SIGNATURE _____	10 DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 73 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-55	LLNL-YMP SQAP R0, Paras. 6.3.4, and 6.7	<p>Acquired and existing software and changed acquired and existing software will be tested and debugged by the assigned software developer prior to its release. The test, debug, and verification activity determines whether the software accurately performs the functions and mathematics desired for software developed outside of the life cycle process....</p> <p>Application verification is an extension of "Test, Debug, and Verification" for Existing, Acquired, and Commercial Software in that it ascertains that the program correctly performs the mathematics intended and accurately corresponds to its documentation.</p> <ol style="list-style-type: none"> <li>1. Verify that ISP, Technical Review, validation, and user's documentation conform with requirements. (examine Statements of Analysis-Specific Software Certification)</li> <li>2. Verify that a Software Review Report conforms to the requirements and that it was performed independently.</li> </ol>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 74 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-56	LLNL-YMP SQAP R0, Paras. B.6, B.7, and B.8	<p>The user's manual allows the user to understand modeling results, and to install and run the software on the user's computer.</p> <p>Listings of the source code should be submitted on three media. ... Include these copies for every version and release of the program that is controlled by the Configuration Management System.</p> <p>The collection of Code Assessment and Support Documentation is intended for review and licensing purposes, per NUREG-0856.</p> <ol style="list-style-type: none"> <li>1. Verify that the documentation conforms to NUREG-0856 checklist (Appendix D).</li> <li>2. Verify inclusion of mathematical theory and manipulations.</li> <li>3. Verify that summaries, reports, and reviews are included.</li> <li>4. Verify that user instructions are sufficient for independent replication.</li> </ol>			
				9 AUDITOR SIGNATURE	10 DATE









**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 78 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-60	LLNL-YMP SQAP R0, Paras. 6.8 and 6.9.3	<p>All software quality requirement efforts for a task (activity) must be completed before the results of the tasks (activities) are used in support of an application for a license from the Nuclear Regulatory Commission.</p> <p>The Software Quality Technician maintains a Registered Users Distribution Log to record YMP participants of the LLNL developed software product.</p> <ol style="list-style-type: none"> <li>1. Verify the existence of a configuration Master Log and examine items for completeness. (SELECTED FEW)</li> <li>2. Verify the existence of a directory of users. (Registered Users Distribution Log).</li> <li>3. Verify method of notifying users of planned or implemented changes.</li> </ol>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 79 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-61	LLNL-YMP SQAP R0, Para. 6.9.5	<p>The TL responsible for the (acquired or existing) software product is responsible for the post-release maintenance. (includes notifying registered users)</p> <ol style="list-style-type: none"> <li>1. Verify that a formal software discrepancy reporting and corrective action procedure exists. (examine forms: software defect report and software change request.)</li> <li>2. Verify the implementation of the above procedure. ( Examine submitted defect reports and/or change requests.)</li> </ol>			
				9 AUDITOR SIGNATURE	10 DATE



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 81 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-63	LLNL-YMP SQAP R0, Para. 6.6.2	<p>PROCEDURES are established for user's to provide reasonable assurance that the software used is appropriate for the intended application and that the results produced by these applications are accurate and can be independently reproduced.(Existing or Acquired)</p> <ol style="list-style-type: none"> <li>1. VERIFY PROCEDURE EXISTS. (Statement of Analysis-Specific Software Certification and Master Log update).</li> <li>2. Verify implementation of the above procedure with approvals of the developer or SQM, TL, TAL, and (possibly) the TPO.</li> <li>3. Verify that any interim results are stamped in order to qualify their use and limitations.</li> </ol>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 82 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-64	LLNL-YMP SQAP R0, Para. 6.1.1.D	<p>Acquired, Existing, or Commercial Large SES</p> <p>4. Documentation -- Available documentation regarding development is to be obtained. Acquired software must meet NUREG-0856 documentation requirements either from vendor documents or LLNL supplements. ...</p> <p>1. Verify that a procedure is in place to request all available documentation (ISP or purchase controls).</p> <p>2. Verify that all available documentation was obtained for all such codes. (100 % sample)</p> <p>3. Verify that all such codes have a unique version identification, revision number(s) and user-related documentation.</p>			
				9 AUDITOR SIGNATURE _____	10 DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 83 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-65	LLNL-YMP SQAP R0, Para. 6.3.1	<p>Requests for software acquisition include appropriate criteria to enable the software received to comply with the required sections of this plan. Those sections not met by the software are completed by the acquirer (user) in the relevant phase of the life cycle that is incomplete or, if that is not possible, the reason is documented and maintained with the software and distributed to all users.</p> <p>1. Verify that orders for acquired software specify requirements. (See QP 4.0 and 7.0)</p> <p>2. Verify that a review of the specifications of the received software was used to see that that the software conforms to the requirements or that the acquired code was marked as deficient.</p>			
				9 AUDITOR SIGNATURE	10 DATE





**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 85 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-67	LLNL-YMP SQAP R0, Para. 6.9	<p><b>INSTALLATION AND CHECK-OUT PHASE</b>                      ... When the requirements in Sections 6.1 through 6.8 have been completed for a particular task (activity), the TL responsible for that task (activity) will submit a "Memo of Completion of Software Quality Requirements" (Completion Memo) to the SQM and a Software Product Summary (SPS) to the TAL.</p> <p>1. Verify the submittal of completion memos and Software Product Summary Forms (SPS) to the SQM.</p> <p>2. Verify that the SPS lists all items associated with the product and the location of all documentation.</p> <p>3. Verify the review and approval of SPS and by whom:</p>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 86 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-68	LLNL-YMP SQAP R0, Paras. 6.2.4, 6.5	<p>The documentation produced in accordance with the life cycle plan will be reviewed at times specified by the Individual Software Plan. These reviews will be conducted by at least one person who is qualified to judge the progress and direction of the programming effort, usually the TL unless the TL has participated in the work being reviewed...</p> <p>Documentation must be submitted for independent technical review before being submitted to the Local Records Center. The review will be performed and documented by the TL (using QP-2.4 or QP-3.3).</p> <ol style="list-style-type: none"> <li>1. Verify that the TAL has reviewed and approved the acquired software. Examine the Master Log.</li> <li>2. Verify that any Reviews and/or audits conform to requirements.</li> <li>3. Verify that software technical/peer reviews conform, if utilized.</li> </ol>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 87 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,NA	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
3-69	LLNL-YMP SQAP R0, Para. 6.3.5	<p>Software conversion is the task of altering software designed to be used on a computer system and/or peripheral hardware other than that for which it was designed. Conversion includes all modifications and tests made to input/output or the source code or additional software to run the original software on the new system and verification activities necessary to assure that the software operates properly and does not perform any degrading functions. The conversion process is documented and maintained for the specific version of the software and the computer system on which it is installed. ....</p> <p>Configuration management records document the conversion and include any modification, configuration changes, or additional software required to make the software functional. Changes to converted software are evaluated as in Section 4.2.</p> <p>1. Verify that any (acquired) software conversions necessary are under the software configuration management system.</p>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 88 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
4-1	QP 4.0, Rev. 1, Para. 4.0.5.2	<p>Review procurement documents and verify that the following information is included in the procurement package:</p> <ol style="list-style-type: none"> <li>1. Scope of Work - The scope of work defines the work to be accomplished and includes a statement and schedule of deliverables and their documentation.</li> <li>2. Technical Requirements - The technical requirements include specifications, standards, codes, and procedures that are to be followed. In-process reviews and acceptance tests necessary to evaluate conformance of an item or service to the technical requirements are specified.</li> <li>3. Subcontractor Quality Assurance Requirements - Subcontractors are to provide or follow a quality assurance program consistent with pertinent provisions of the YMP QAPP. The quality assurance program requirements, including record retention, deposition, and time of submittal, are specified in a statement attached to the procurement document (see Exhibit C). The extent of the program required depends upon the type and use of the item or service being procured. The procurement documents require the supplier to incorporate appropriate QA program requirements in subtier procurement documents.</li> </ol>			
				9 AUDITOR SIGNATURE _____	10 DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 89 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
4-1 Cont'd	QP 4.0, Rev. 1, Para. 4.0.5.2	<p>4. Right of Access - All procurement sections in support of Level of Quality Assurance I and II activities must provide for access to the supplier's facilities and to procurement-related records by LLNL personnel and its authorized representatives (see Exhibit B). Right of Access assures access for the purposes of conducting inspections, audits, and surveillances of the supplier's facilities and quality-related records.</p> <p>5. Maintenance Contracts - The terms of a maintenance contract may be made part of the procurement document.</p> <p>6. Shipping - Instructions for handling, shipping, and storage are included if required.</p>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 90 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,NA	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
4-1 Cont'd	QP 4.0, Rev. 1, Para. 4.0.5.2	7. Documentation Requirements - Instructions for identifying the documents required to be submitted to the LLNL-YMP, the time of submittal and information for maintaining and storing QA records are to be required.  8. Nonconformance - Requirements for reporting and approving disposition of nonconformances are required.			
				9 AUDITOR SIGNATURE _____	

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 91 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
4-2	QP 4.0, Rev. 1, Para. 4.0.5.3	1. Verify that the Task Leader reviews the procurement document package for QA Levels I and II procurement actions and QA Level III technical service procure actions to assure that the procurement is appropriate and that the document contains all required information.  2. Verify that after completing this review, the Task Leader prepares and signs the Procurement Document Review Form (Exhibit C), attaches the form to the procurement document or package and forwards to the Resource Manager.			
				9 AUDITOR SIGNATURE _____	10 DATE _____





**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 93 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
4-4	QP 4.0, Rev. 1, Para. 5.0.5.5	1. Verify that the QA Manager reviews all procurement document packages and: <ul style="list-style-type: none"> <li>a. Assures that the required information prescribed by this procedure is contained within.</li> <li>b. Assures that the QA requirements are correctly attached, inspectable and controllable.</li> <li>c. Assures that adequate acceptance and rejection criteria are specified.</li> <li>d. When satisfied with the contents of the procurement document, he signs the Procurement Document Review Form.</li> </ul>			
				9 AUDITOR SIGNATURE _____	10 DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 94 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
4-4 Cont'd	QP 4.0, Rev. 1 Para. 5.0.5.5	<p>e. For QA Level I and II procurement actions, the QA Manager attaches a notice to Procurement/Special Materials Office to assure review prior to issue.</p> <p>f. For QA Level I and II procurement actions, copies of the final procurement documents identify the vendor, summarizing the work scope and schedule for work start are forwarded for information to the DOE Project Office QA Director.</p> <p>2. Verify that the QA Manager maintains a log of procurement actions reviewed.</p>			

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 95 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
4-5	QP 4.0, Rev. 1 Para. 4.0.5.6	1. Verify that changes to procurement documents at any point during the procurement process are reviewed by the Task Leader, Resource Manager, and QA Manager consistent with all the procedures prescribed under Section 4.0.5.  2. Verify that review of such changes and their effect is completed and documented prior to contract award.  3. Verify that both the requester and the buyer document their review and concurrence on all procurement changes and that this documentation is placed in the QA Records Package.  4. Verify that copies of changes to QA Level I & II procurement documents are sent to the DOE Project Office QA Manager.			
				9 AUDITOR SIGNATURE _____	

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 96 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
4-6	QP 4.0, Rev. 1, Para. 4.0.5.8	Verify that source evaluations are performed when deemed appropriate.			
4-7	Para. 4.0.5.9	Verify that in-process evaluation/source verifications are performed in accordance with the procurement document package.			
4-8	Paras. 4.0.5.11A(c) & 4.0.5.11c	Verify that receiving inspection/technical services acceptance are performed and documented.			
				9 AUDITOR SIGNATURE	10 DATE





**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 99 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
4-11	QP 4.1, Rev. 1, Para. 4.1.6.1.4	Review a random number of purchasing packages and verify that the following documents are available: <ul style="list-style-type: none"> <li>a. Approved Generic QA Requirements Specification and revisions thereto;</li> <li>b. Approved Subcontractor QA Requirements Specification and revision thereto;</li> <li>c. Memorandum approving specific subcontractor QA programs: and</li> <li>d. Memorandum documenting reviews of Subcontract QA Requirements Specification where no revisions are necessary.</li> </ul>			
				9 AUDITOR SIGNATURE _____	10 DATE _____





**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 101 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
5-2	033-YMP-R 5, Rev. 0,  CN Nos. 5.-0.1 Sect. 2.0	Independent reviews of all instructions, procedures, plans and drawings are performed by the LLNL-YMP to assure technical adequacy and inclusion of appropriate quality requirements. If applicable, this review shall consider whether or not the activities are repeatable, have the potential to impact the waste isolation capability of the site or interfere with other site characterization activities.			
	033-YMP-QP 2.1, Rev. 2 Para 2.1.4.3 CN Nos. 2.1-2-1 and 2.1-2-2	1. Verify that procedures are reviewed to assure technical adequacy and inclusion of appropriate quality requirements. Check that each reviewer/approver listed on Exhibit A has performed the review/approval of controlled documents they are responsible for.			
	9 AUDITOR SIGNATURE _____				10 DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 102 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
5-3	033-YMP-R 5, Rev. 0, Sect. 1	Instructions and procedures include a section which identifies the QA records which are generated during implementation of the document. If plans are used in 1 of procedures, then these plans include or reference appropriate acceptance criteria and identify the QA records which are generated.			
	033-YMP-2.1, Rev. 2 Para. 2.1.4.2	1. Verify that controlled documents listed on Exhibit A identify the QA records generated by the implementation of said procedures.			
	033-YMP-5.0, Rev. 1 Para. 5.0.5.13 Para. 5.0.5.11	2. Verify that TIPs list the QA records that will be generated by the TIP and the acceptance and rejecti criteria and limits including required levels of precision and accuracy.			
			<p align="center">9 AUDITOR SIGNATURE</p>	<p align="center">10 DATE</p>	

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 103 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
6-1	033-YMP-R 6, Rev. 0, Sect. 1.2  033-YMP-QP 6.0, Rev. 1 Para. 6.0.5.2 CN Nos. QP 6.0-1-1, 6.0-1-2, 6.0-1-3, 6.0-1-4, and 6.0-1-5	Implementation of document control provides for the identification of documents to be controlled.  1. Verify that the following documents are controlled:  a. Activity Plans  b. Individual Software Plans  c. Quality Assurance Grading Reports  d. Quality Procedures  e. Quality Assurance Program Plans  f. Quality Assurance Requirements Specifications  g. Scientific Investigation Plans  h. Software Quality Assurance Plan  i. Technical Implementing Procedures			
				9 AUDITOR SIGNATURE _____	10 DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 104 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
6-2	033-YMP-R 6, Rev. 0 Sect. 1.2	Implementation of document control provides for a method for the removal or marking of obsolete or superseded documents to prevent inadvertent use.			
	033-YMP-QP 6.0, Rev. 1 Para. 6.0.5.3	<p>1. Verify that the following are done:</p> <p>a. For controlled distributions, individuals are assigned a unique control copy number and distribution is made using a Receipt Acknowledgment Form (Exhibit 6.0-A). If, after 20 working days the signed Receipt Acknowledgment Form is not returned, the LRC issues a letter to the delinquent document holder with a copy to the holder's LLNL-YMP supervisor and the QA manager.</p>			
				9 AUDITOR SIGNATURE	10 DATE



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

<sup>1</sup> ORGANIZATION LLNL

<sup>2</sup> Page 106 of 175

<sup>3</sup> AUDIT ITEM NO.	<sup>4</sup> QUALITY REQUIREMENT REFERENCE(S)	<sup>5</sup> QUALITY REQUIREMENT/GUIDELINE	<sup>6</sup> RESULTS S,X,N/A	<sup>7</sup> SUMMARY OF INVESTIGATION	<sup>8</sup> PERSON CONTACTED
6-3	033-YMP-R 6, Rev. 0, Sect. 1.2  033-YMP-QP 6.0, Rev. 1 Para. 6.0.5.5  Para. 6.0.3	Implementation of document control provides for a method for assuring that the correct and applicable documents are available at the location where they are to be used.  1. Verify that the following are done:  a. A Request for collection of Controlled Document form Exhibit 6.0 - B) will be sent to the individual requesting destruction or return of the controlled document to the LRC.  b. Recipients of controlled documents are responsible for maintaining their assigned copy; returning, marking, or destroying obsolete or superseded documents; notifying the LRC of changes in name, position, address and employment status; and assuring that controlled documents are available at the work place.			
				<sup>9</sup> AUDITOR SIGNATURE _____	<sup>10</sup> DATE _____









**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 110 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
6-7	033-YMP-R 6, Rev. 0 Sect. 2.2  033-YMP-QP 6.0, Rev. 1 Para. 6.0.5.6  Para. 6.0.5.6	MINOR CHANGES  1. Verify that changes designated as minor changes are limited to spelling and grammar corrections, and editorial corrections that do not change the intent of the procedure. The original record will be corrected by the record source by scribing a single line through the incorrect information entering the correct information in close proximity, dating and signing or initialing the change. The incorrect information shall remain legible. Concurrence and approval to issue the change will be made by the LLNL-YMP Project Leader or Quality Assurance Manager. For controlled distributions the revised document or change notice will be distributed to control copy holders in accordance with Section 6.0.5.3 with a receipt acknowledgment required.  2. Verify that interim changes or change notices made to any controlled document are approved by those who approved the original document. The change is placed at the front of the affected document and is issued along with a revised table of contents in accordance with Section 6.0.5.3. Interim changes remain in effect until the next revision of the document or until cancelled.			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 111 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
6-8	033-YMP-R 6, Rev. 0, Sect. 3.1  033-YMP-QP 6.0, Rev. 1 Para. 6.0.5.7	DOCUMENT CONTROL SYSTEM  1. Verify that preliminary draft of a document containing data or conclusions that have not been verified are identified and controlled. A copy of the document, with the unverified portion identified will be delivered to the LRC with a Release Prior to Verification form (Exhibit 6.0 - C) is attached to the document. The LRC will stamp the document "Unverified - For Information Only" and issue the document on a controlled distribution. The LRC will maintain a log of releases of unverified documents. Such documents, when verified and approved, will be redistributed to copy holders.			
6-9	033-YMP-R 5, Rev. 0 Sect. 4.0  033-YMP-QP 6.0, Rev. 1 Section 3.0	The LLNL-YMP provides the DOE Project Office QA Manager with controlled distribution of all implementing procedures, plans and instructions used for quality-affecting activities.  A master list or equivalent used to identify the correct current and updated versions of documents are submitted to the DOE Project Office QA Manager.  1. Verify that the DOE Project Office QA Manager is on the controlled distribution of LLNL controlled documents.			
				9 AUDITOR SIGNATURE	10 DATE



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 113 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
8-1	QP 8.0, Rev. 0, Para. 8.0.4.2	1. Verify Technical Implementing Procedures (TIP) or Study Plans have identified specific identification and control measures for samples.  2. Do the controls define the responsibilities for: <ul style="list-style-type: none"> <li>o Identification (numbering scheme)</li> <li>o Collection/Receiving</li> <li>o Handling</li> <li>o Storage</li> <li>o Transportation</li> <li>o Records Generation</li> <li>o Cataloging</li> <li>o Traceability</li> </ul> 3. Are any Administrative Procedures (AP) been issued which define the methods of control.			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 114 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
8-2	QP 8.0, Rev. 0, Para. 8.0.4.2.1	1. Verify that the identification methods provide a means by which the sample(s) can be traced to the appropriate documentation such as drawings, specifications, drilling logs, test records, inspection documents, and nonconformance reports.			
8-3	Para. 8.0.4.2.2	1. Verify that samples are identified by placing the identification directly on the sample container, and on the records. If it was impractical to place the identification on the sample or sample container, alternate methods for identification were described and used to assure that samples were not mixed with like samples and that the correct identification of samples is verified and documented prior to release for use.			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

<sup>1</sup> ORGANIZATION LLNL

<sup>2</sup> Page 115 of 175

<sup>3</sup> AUDIT ITEM NO.	<sup>4</sup> QUALITY REQUIREMENT REFERENCE(S)	<sup>5</sup> QUALITY REQUIREMENT/GUIDELINE	<sup>6</sup> RESULTS S,X,N/A	<sup>7</sup> SUMMARY OF INVESTIGATION	<sup>8</sup> PERSON CONTACTED	
8-4	QP 8.0, Rev. 0, Para. 8.0.4.2.4	1. Verify that storage methodology has been developed and implemented to assure that samples are maintained in predetermined physical conditions commensurate with their intended purpose.				
8-5	Para. 8.0.4.2.5	1. Verify that the storage and transportation methods developed to maintain sample integrity have been procedurally documented, and that "long term storage" has been defined.				

<sup>9</sup> AUDITOR SIGNATURE \_\_\_\_\_ <sup>10</sup> DATE \_\_\_\_\_





**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 117 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
8-7	QP 8.0, Rev. 0, Para. 8.0.4.2.7	1. Verify that: <ul style="list-style-type: none"> <li>a. Actions to be taken where samples may have a minimum life expectancy while in storage are described.</li> <li>b. Controls are developed and implemented to assure that the identifiers for these samples specify the maximum life expectancy.</li> <li>c. A record of the identifiers is kept. This record contains: the sample name; sample type, sample identifiers; maximum life expectancy; and disposition of sample after maximum life expectancy is met.</li> </ul>			
				9 AUDITOR SIGNATURE	10 DATE



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 119 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
12-1	033-YMP-R 12 REV. 0, Sect. 1.3  033-YMP-QP 12.0 REV. 2, Sect. 12.0.3	Description of Responsibilities  1. Who is the Deputy Project Leader (PL)?  2. Who is the Calibration Coordinator?  3. Who is/are the Technical Area Leader(s)?			
				9 AUDITOR SIGNATURE _____	

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 120 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
12-2	033-YMP-R 12 REV. 0, Sect. 1.3   033-YMP-QP 12.0 Rev. 2, Sect. 12.0.4	Description of Responsibilities  1. Verify that the M&TE Master Status Listing identifies M&TE authorized for use on the YMP.  2. Verify that the Master Status Listing is periodically issued by the Calibration Coordinator and that the corresponding data base is continuously revised/maintained for daily use and references.  3. Define periodically.			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 121 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
12-3	033-YMP-R 12 Rev. 0, Sect. 2.2  033-YMP-QP 12.0 Rev. 2, Sect. 12.0.4	<b>CALIBRATION</b>  1. Verify that for the sampled M&TE calibration laboratories and individuals who perform "User Calibrations" maintain standards traceable to the National Institute for Standards and Technology or other nationally recognized constants.  2. Verify that where no recognized standard exists, the basis for calibration is justified and documented by the laboratory or individual performing the calibration.			
				9 AUDITOR SIGNATURE _____	

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 122 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
12-4	033-YMP-R 12 REV. 0, Sect. 2.1  033-YMP-QP 12.0 REV. 2, Sect. 12.0.4	Selection  1. Verify that the selection of M&TE has been addressed by the Principal Investigator or Task Leader in test plans, activity plans, technical procedures, or scientific notebooks.  2. Verify that Principal Investigators and Task Leaders specify the type, range and accuracy of M&TE in activity plans and procedures.			
				9 AUDITOR SIGNATURE _____	





**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 124 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,NA	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
12-6	033-YMP-R 12 REV. 0, Sect. 2.1  033-YMP-QP 12.0 REV. 2, Sect. 12.0.4	SELECTION  1. Verify that required accuracy is specified in calibration procedures and is consistent with the accuracy of the manufacturer's or designer's specifications.			
12-7	033-YMP-R 12 REV. 0, Sect. 1.1  033-YMP-QP 12.0 REV. 2, Sect. 12.0.4	1. Verify that calibration frequency is established and is consistent with manufacturer's or designer's recommendations, or is to the Calibration Laboratory's standards.			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 125 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
12-8	033-YMP-R 12 REV. 0, Sections 2.1 and 2.2  033-YMP-QP 12.0 REV. 2, Sect. 12.0.4	<ol style="list-style-type: none"> <li>Verify that calibrations performed by Calibration Laboratories are performed to the manufacturer's instructions or to written procedures prepared and approved by the respective Calibration Laboratory.</li> <li>Verify that the Calibration Certificate provides a record of: as-found, with any Out-Of-Tolerance calibration data identified and or highlighted, as-left, name, date, organization, unique M&amp;TE identifier, calibration standards with verification that these standards are within the approved calibration period.</li> </ol>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 126 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
12-9	033-YMP-R 12 REV. 0, Sect. 2.2  033-YMP-QP 12.0 REV. 2, Sect. 12.0.4	1. Verify that when system calibrations are performed, in lieu of individual component calibrations, it is done in accordance with approved Technical Implementing Procedures (TIPs).  2. Verify that TIPs provide provisions for: <ul style="list-style-type: none"> <li>- identification of major components of the system which affect accuracy;</li> <li>- controls to preclude invalidation of calibrations by component replacements or adjustments;</li> <li>- demonstration of repeatability or basis of repeatability;</li> <li>- as well as calibration instructions, criteria and documentation.</li> </ul>			
				9 AUDITOR SIGNATURE	10 DATE



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 128 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
12-11	033-YMP-R 12 REV. 0, Sect. 2.3  033-YMP-QP 12.0 REV. 2, Sect. 12.0.4	1. Verify that the Calibration Coordinator issues recall notices to the user or custodian of the M&TE prior to the expiration of the calibration interval.  2. Verify that the recall notice contains the following:  - user name - DOE number - manufacturer - model number - serial number - expiration date - other data as appropriate  3. Verify that where the calibration interval is exceeded without waiver, the M&TE is removed from the Master Status List.			
				9 AUDITOR SIGNATURE	10 DATE



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 130 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
12-13	033-YMP-R 12 REV. 0, Sect. 2.2  033-YMP-QP 12.0 REV. 2, Sect. 12.0.4	1. Verify that for User calibrated devices and systems calibrated on a calendar basis, the calibration is documented and submitted to the calibration Coordinator with the following documents: <ul style="list-style-type: none"> <li>o unique M&amp;TE identifier</li> <li>o name and organization of the person performing the calibration</li> <li>o date of the calibration</li> <li>o as-found condition with out-of-tolerance data identified or highlighted</li> <li>o the as-left condition</li> <li>o identification of the standards</li> <li>o verification of calibration interval, if applicable</li> <li>o number and revision of the procedure used</li> <li>o the Nonconformance Report number, if applicable</li> </ul> 2. Verify that for devices and systems calibrated before each use, or periodically during use, calibrations are documented in the scientific notebook and includes the information as listed above.			
				<div style="display: flex; justify-content: space-between;"> <span><sup>9</sup> AUDITOR SIGNATURE _____</span> <span><sup>10</sup> DATE _____</span> </div>	

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 131 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
12-14	033-YMP-QP 12.0, REV. 2, Sect. 12.0.4	1. Verify that when the Technical Area Leader authorizes an extension of a calibration interval, an M&TE Waiver Notice is used.  2. Verify that when an extension has been made to a calibration interval, the instrument is tagged with a Calibration Waiver Tag.  3. Verify that both the M&TE Waiver Tag Notice and Calibration Waiver Tag indicate the expiration date of the waiver.  4. Verify that the waiver tag is placed near or on the instrument or as appropriate for the experimental environment.			
				9 AUDITOR SIGNATURE _____	









**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 135 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,NA	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
15-1	033-YMP-R 15 REV. 0, Sect. 1.1.1  033-YMP-QP 15.0 REV. 2, Sect. 15.0.5.2	<p align="center">NONCONFORMING ITEMS</p> 1. Verify that a sequential identification number is assigned to each NCR.  2. Verify that when a NCR condition does not exist, the NCR is voided and the grounds for voiding are documented on the NCR.			

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 136 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
15-2	033-YMP-R 15 REV. 0, Sect. 1.2.1	1. Does LLNL have a Nonconformance Control Log?  2. Verify that the Nonconformance Control Log provides the following information:  o The NCR number.  o A brief description of the nonconforming condition.  o Identification of the person or organization responsible for determining and carrying out the nonconformance disposition.  o The status of each NCR (open or closed).			
				9 AUDITOR SIGNATURE _____	10 DATE _____



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 138 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,NA	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
15-4	033-YMP-R 15 REV. 0, Sect. 1.4.1	1. Verify that for NCRs deemed to be of a significant nature adverse to quality, a Corrective Action Report is generated promptly in accordance with 033-YMP-QP 16.0.			
	033-YMP-QP 15.0 REV. 2, Sect. 15.0.5.3	2. Verify that for NCRs requiring prompt action, disposition information and approvals that are obtained verbally are documented as verbal communication and attached to the NCR.			
					9 AUDITOR SIGNATURE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

<sup>1</sup> ORGANIZATION LLNL

<sup>2</sup> Page 139 of 175

<sup>3</sup> AUDIT ITEM NO.	<sup>4</sup> QUALITY REQUIREMENT REFERENCE(S)	<sup>5</sup> QUALITY REQUIREMENT/GUIDELINE	<sup>6</sup> RESULTS S,X,N/A	<sup>7</sup> SUMMARY OF INVESTIGATION	<sup>8</sup> PERSON CONTACTED
15-5	033-YMP-R 15 REV. 0, Sect. 1.4.4  033-YMP-QP 15.0 REV. 2, Sect. 15.0.5.4	1. Verify that for each examined NCR the following items have been accomplished:  a. The nonconformance is adequately identified and described in the NCR.  b. Cause of nonconformance is correctly described.  c. The appropriate justification for the disposition of the nonconformance is documented.  d. For "rework", the disposition references approved design documents, procedures, plans, work orders, etc. to be used to correct the nonconforming condition.  e. The technical details for correction of the nonconforming condition are adequate for the recommended disposition.  f. For "repair", the disposition complies with regulatory requirements and denotes changes to existing design documents, test plans or procedures, reports, etc. Any changed documents are cross-referenced to the NCR.  g. The disposition identifies the organization responsible for implementation.  h. The date by which corrective action will be completed.			
				<sup>9</sup> AUDITOR SIGNATURE _____	



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 140 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
15-6	033-YMP-R 15 REV. 0, Sect. 1.4.4	1. Verify that for completed NCRs, the NCR form has been filled-out completely and submitted to the LRC.			
	033-YMP-QP 15.0 REV. 2, Sect. 15.0.5.4				
					9 AUDITOR SIGNATURE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 141 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
15-7	033-YMP-R 15 REV. 0, Sect. 1.4.2	1. Verify that for NCRs for which changes to the information contained in the NCRs is made, is documented in a memorandum to the NCR file.			
	033-YMP-QP 15.0 REV. 2, Sect. 15.0.5	2. Verify that for changes that involve or effect the approved disposition of the Nonconforming Condition, the change is approved by the same level of management that approved the original disposition.			
	9 AUDITOR SIGNATURE			10 DATE	

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 142 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
15-8	033-YMP-R 15 REV. 0, Sect. 1.4.4	1. Verify that for repair and use-as-is dispositions, a technical justification is prepared.			
	033-YMP-QP 15.0 REV. 2, Sect. 15.0.5.4	2. Verify that for a proposed disposition of "repair", the DOE Project Office approves the disposition prior to implementation.			
	3. Verify that for a proposed disposition of "use-as-is", the NCR is forwarded to the DOE Project Office for approval after all actions necessary to support the technical justification of the disposition is completed.				
	9 AUDITOR SIGNATURE _____				10 DATE _____



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 144 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,NA	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
16-1	033-YMP-QP 16.0, REV. 2, Sect. 16.0.5.1.2	<p align="center"><b>CORRECTIVE ACTION</b></p> <p>1. Verify that the QA Manager completes Part I of the Corrective Action Report when one is initiated.</p> <ul style="list-style-type: none"> <li>- CAR No.</li> <li>- date initiated</li> <li>- reference documents</li> <li>- condition</li> <li>- corrective action to be taken</li> <li>- responsible Task Leader (signature)</li> <li>- recommended completion date</li> <li>- QA Manager, date</li> </ul>			
16-2	033-YMP-QP 16.0, REV. 2, Sect. 16.0.5.2.1	<p>1. Verify that the prescribed information regarding the CAR has been entered onto the QA Action Item List, and that a file has been opened for collection of documents related to the CAR.</p>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 145 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
16-3	033-YMP-QP 16.0, Rev. 2, Sect. 16.0.5.3.1          Sect. 16.0.5.3.2	1. Verify that upon completion of corrective action, Part II of the Corrective Action Report is completed.  - corrective action taken - date completed - responsible Task Leader, date - Project Leader, date  2. Verify that Corrective Action Report is signed by the Project Leader.			



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 147 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
16-5	033-YMP-QP 16.0, Rev. 2, Sect. 16.0.5.5.1  Sect. 16.0.5.5.2	1. Verify that changes to information contained on Corrective Action Reports is documented in a memoranda to the file.  2. Verify that the QA Manager endorses memoranda requesting changes to Corrective Action Reports.			
16-6	033-YMP-QP 16.0, Rev. 2, Sect. 16.0.5.6.1	1. Verify that a monthly summary of the status of open Corrective Action Reports is issued by the QA Manager.			
				9 AUDITOR SIGNATURE	10 DATE



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 148 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
16-7	033-YMP-R 16 REV. 0, Sect. 1.2  033-YMP-QP 16.1 REV. 2, Sect. 16.1.4.2	<p>PROCESSING OR EXTERNALLY ORIGINATED CORRECTIVE ACTION DOCUMENTS</p> <p>Follow-up Action</p> <p>1. Verify that the QA Manager has accomplished the following upon receipt of externally originated corrective action documents:</p> <ul style="list-style-type: none"> <li>a. Enters the document onto the QA Action Item List;</li> <li>b. Establishes a file for collection of documentation associated with the document;</li> <li>c. Obtains from the Project Leader assignment of a Respondent who is tasked with responding to the document;</li> <li>d. Forwards a copy of the document to the Respondent along with aq due date for the response. The due date is the lesser of the due date specified by the document, or thirty calendar days from the date of receipt by LLNL-YMP.</li> </ul>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 149 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
16-8	033-YMP-R 16 REV. 0, Sect. 1.2	FOLLOW-UP ACTION			
	033-YMP-QP 16.1 REV. 2, Sect. 16.1.4.2.2	1. Verify that responses are received by the specified date and include identification of cause and proposed corrective action.			
16-9	033-YMP-R 16 REV. 0, Sect. 1.3	CORRECTIVE ACTION			
	033-YMP-QP 16.1 Rev. 2, Sect. 16.1.4.3.1	1. Verify that the status of open external corrective action reports is reported on the weekly QA Action Item List and monthly status report.			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 150 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,NA	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
16-10	033-YMP-QP 16.2 Rev. 2, Sect. 16.2.4.2	<p align="center">TREND ANALYSIS</p> <ol style="list-style-type: none"> <li>1. Verify that the YMP QA Manager issues a report of the results of Trend Analysis activities at least annually.</li> <li>2. Verify that Trend Analysis Report contains the following information as a minimum:                             <ol style="list-style-type: none"> <li>a. Trend Analysis period</li> <li>b. Trends identified (if any)</li> <li>c. Reference to Corrective Action Report initiated (if any)</li> <li>d. Justification (if initiation of a CAR is determined to be unnecessary)</li> </ol> </li> </ol>			
				9 AUDITOR SIGNATURE	10 DATE



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 152 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
17-1 (cont.)		3. Documents that may be excluded from the records system include information copies, limited value material, non-processed material and participant internal records, all of which are described in Tab C, Terms and Definitions.			



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 154 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
17-3	033-YMP-R 17, Rev. 0 Para. 2.0  033-YMO-QP 17.0, Rev. 2 Para 17.0.5.2	<p align="center">GENERATION OF RECORDS</p> <p>Verify that:</p> <ol style="list-style-type: none"> <li>The Records Source verifies that the record is legible, identifiable with the activity it relates to, accurate, complete, reproducible, microfilmable, and appropriate to the work accomplished.</li> </ol>			
				9 AUDITOR SIGNATURE _____	10 DATE _____





**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 156 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
17-5	033-YMP-R 17, Rev. 0 Para. 4.2, & 7.0  033-YMP-QP 17.0 Rev. 2, Para 17.0.5.6 (a)  Para. 17.0.5.6 (b)	<p>PROTECTION OF RECORDS</p> <p>PRESERVATION</p> <p>Verify that:</p> <ol style="list-style-type: none"> <li>1. The task Leader/Record Source assures that from the time of generation/validation of a record until it is delivered to the LRC, the record is protected from damage, deterioration and loss.</li> <li>2. Records received by the LRC are promptly copied. Usually the original is submitted to the CRF and the copy filed temporarily at LLNL. The requirement for dual storage is satisfied by either 1) maintenance of a copy at LLNL and simultaneous submission of the original to the CRF or 2) maintenance of dual copies at LLNL until submission of the original record to the CRF.</li> </ol>			
				9 AUDITOR SIGNATURE _____	10 DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 157 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
17-5 (cont)	Para. 17.0.5.6 (c)	3. The original and dual copy of a record are stored in a manner to prevent damage from moisture, temperature, and pressure. Records are firmly attached in binders or placed in folders or envelopes for storage in steel file cabinets or on shelving in containers. Specially processed and one-of-a kind records are stored in a manner to prevent damage. Excessive light, stacking, electromagnetic fields, temperature, and humidity are considerations.			
	Para. 17.0.5.6 (i)	4. Facilities in which records are stored are constructed and maintained by LLNL in accordance with LLNL policies and procedures. records are stored in locked, one-hour fire resistant containers as deemed appropriate for fire protection by the LLNL Fire Chief.			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 158 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,NA	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
17-6	033-YMP-R 17, Rev. 0 Para 5.1 and  5.2  033-YMP-QP-17.0, Rev. 1 Para 17.0.5.3.2	IDENTIFICATION DESIGNATIION  INDEXING SYSTEM  Verify the following:  1. LRC personnel indicate receipt and acceptance of records into the records system by initialing and dating the transmittal form and returning a copy to the Record Source.  2. Records accepted by the LRC are logged using a computer based document logging system. An LRC identification number, one generated in accordance with the DOE approved records identification system is assigned to the record. This number is a unique, sequential number which identifies the record to the YMP project.  3. The data base record log may include; record date date received, LRC I.D. No., record I.D. No. (if any), title or subject, author and/or organization, recipient Work Breakdown Structure Number to at least the third level, file location, and other information specific to that record.			
				9 AUDITOR SIGNATURE	10 DATE





**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 161 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
17-9	033-YMP-R 17, Rev. 0 Para. 9.0 033-YMP-QP 17.0, Rev. 2 Para. 17.0.5.3.1	<p align="center">CORRECTED INFORMATION IN RECORDS</p> <p>Verify the following:</p> <ol style="list-style-type: none"> <li>Any problems encountered on receipt inspection are resolved before the record is accepted into the records system. Records requiring further completion or correction are rejected by the LRC and returned to the source.</li> </ol> <p>Corrections to completed records are made by the Record Source. If correction are not extensive the acceptable method is to scribe a single line through the incorrect information, taking care not obliterate it, enter the correct information in close proximity, and sign or initial and date the correction so the correct information will remain legible.</p> <ol style="list-style-type: none"> <li>A log of rejected record transmittals is maintained by the LRC. Record transmittals not returned referred to the LLNL-YMP Project Leader or Quality Assurance Manager for resolution, if necessary.</li> </ol>			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

<sup>1</sup> ORGANIZATION LLNL

<sup>2</sup> Page 162 of 175

<sup>3</sup> AUDIT ITEM NO.	<sup>4</sup> QUALITY REQUIREMENT REFERENCE(S)	<sup>5</sup> QUALITY REQUIREMENT/GUIDELINE	<sup>6</sup> RESULTS S,X,N/A	<sup>7</sup> SUMMARY OF INVESTIGATION	<sup>8</sup> PERSON CONTACTED
17-9 (cont)	Para. 17.0.5.6 (g)	3. Corrections to completed records already processed are initiated by the Records Source by obtaining necessary approval to retrieve the record from the LRC, making the correction, and resubmitting the record to the LRC for processing and submission to the CRF.			
	Para. 17.0.5.3.3	4. A revision of the record or record package is submitted by referencing the original record or package, and transmitting the revision to the LRC.			
	<sup>9</sup> AUDITOR SIGNATURE _____ <sup>10</sup> DATE _____				

**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 163 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
17-10	033-YMP-R 17, Rev. 0 Para. 11.1  033-YMP-QP 17.0, Rev. 1 Para. 17.0.5.6 (f)	RETRIEVAL  1. Verify that records are assigned an identification retrievability. The record data base control log identifies the document location. Records are removed from storage with proper authorization. An original or one-of-a-kind record is released by the LRC with the use of a record release form signed by the appropriate Task Leader, the Quality Assurance Manager or the Project Administrator (or designee). Once the original is submitted to the CRF, access is provided through the YMSCPO.			
				9 AUDITOR SIGNATURE	10 DATE



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 164 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,NA	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
18-1	QP 18.0, Rev. 2, Para. 18.0.5.1	1. Verify that all applicable QAPP quality assurance and technical activities are audited at least annually or at least once during the life of the activity, whichever is shorter.			
18-2	Para. 18.0.5.1.2	1. Verify that a 12-month schedule for internal and external audits is issued by the YMP QA Manager at the beginning of each fiscal year and issued to the YMPO. Is the schedule being followed?			
				9 AUDITOR SIGNATURE	10 DATE



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 166 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
18-4	QP 18.0, Rev. 2, Para. 18.0.5.2	1. Verify that audits are performed by: <ul style="list-style-type: none"> <li>o Personnel qualified in accordance with Procedure No. QP 18.2 "Qualification of Quality Assurance Audit Personnel," and that the Lead Auditor designated by the YMP QA Manager prepares a pre-audit documented assessment that assigned audit personnel have experience or training commensurate with the scope, complexity, or special nature of the activities to be audited. This assessment is to be documented by use of Exhibit A, "Audit Plan Format."</li> </ul>			
<div style="display: flex; justify-content: space-between;"> <span>9 AUDITOR SIGNATURE _____</span> <span>10 DATE _____</span> </div>					



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

<sup>1</sup> ORGANIZATION LLNL

<sup>2</sup> Page 168 of 175

<sup>3</sup> AUDIT ITEM NO.	<sup>4</sup> QUALITY REQUIREMENT REFERENCE(S)	<sup>5</sup> QUALITY REQUIREMENT/GUIDELINE	<sup>6</sup> RESULTS S,X,N/A	<sup>7</sup> SUMMARY OF INVESTIGATION	<sup>8</sup> PERSON CONTACTED
18-6	Para. 18.0.5.5.2  QP 18.0, Rev. 2, Para. 18.0.5.5.2	1. Verify that audits are conducted with prepared checklists and that all checklist questions were addressed and that this was documented on the checklists.  2. Verify that objective evidence was examined and interviews were conducted to determine which QA requirements are being implemented effectively and are adequate for effective control of the activity.			





**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 171 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
18-10	QP 18.0, Rev. 2, Para. 18.0.9	1. Verify that audit records include: <ul style="list-style-type: none"> <li>- Audit Planning Worksheet</li> <li>- Audit Plan</li> <li>- Audit Reports</li> </ul>			
18-11	QP 18.1, Rev. 2 Para. 18.1.5.2.1	1. Verify that a schedule of planned surveillances for the fiscal year was issued by the YMP QA Manager to the YMP Project Leader, Technical Area Leaders, Task Leaders, and Director, QA Div-YMP. The schedule identified the YMP and subcontractor activities to be surveilled.			
				9 AUDITOR SIGNATURE	10 DATE



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 172 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
18-12	para. 18.1.5.2.2	1. Verify that YMP QA Manager has requested of the DOE Project Office to schedule and perform surveillance(s) of other project participants who perform activities on behalf of LLNL-YMP.			
18-13	QP 18.1, Rev. 2, Para. 18.1.5.1.1	1. Verify that independence and the qualifications of surveillance personnel.			
				9 AUDITOR SIGNATURE	10 DATE



**OCRWM AUDIT CHECKLIST NO. 91-01-01**

1 ORGANIZATION LLNL

2 Page 174 of 175

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
18-15	033-YMP-QP 18.1 Rev. 2 para. 18.1.5.5.2	1. Verify that surveillance reports are submitted to the QA Manager within 10 working days after completion of the surveillance.			
18-16	QP 18.1, Rev. 2, Para. 18.1.6.1	1. Verify that QA records resulting from surveillance activity are collected, handled, stored, and maintained as required by Procedure No. 033-YMP-QA 17.0, "Quality Assurance Records:"  - Surveillance Reports			
				9 AUDITOR SIGNATURE	10 DATE



**OFFICE OF CIVILIAN  
RADIOACTIVE WASTE MANAGEMENT  
QUALITY ASSURANCE AUDIT NO. YMP-91-01**

**OF**

**LAWRENCE LIVERMORE NATIONAL LABORATORY**

**AUDIT CHECKLIST NO. 91-01-02**

**PAGES 1 THROUGH 19**

**CHECKLIST APPROVED BY:**

*R E Powe*

**RICHARD E. POWE- LEAD TECHNICAL SPECIALIST**

**CHECKLIST APPROVED BY:**

*Frank J. Kratzinger*

**FRANK J. KRATZINGER - AUDIT TEAM LEADER**

**DATE:**

5/21/91

**OCRWM AUDIT CHECKLIST NO. 91-01-02**

1 ORGANIZATION LLNL

2 Page 2 of 19

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
	WBS 1.2.1.4.5	GEOCHEMICAL MODELING AND DATA BASE DEVELOPMENT			
T-1	SIP-2	Geochemical Modeling (EQ3/6)			
T-2	SIP-2	The SIP was approved 10/17/86. Will the document be revised to reflect current planning?			
T-3		What controls are applied to this task at the fifth WBS element level? Are they consistent with the activity defined by the QA Grading effort recently performed?			
		What water chemistries are utilized in the current code and can the user define this?			

9 AUDITOR SIGNATURE \_\_\_\_\_

10 DATE \_\_\_\_\_

**OCRWM AUDIT CHECKLIST NO. 91-01-02**

1 ORGANIZATION LLNL

2 Page 3 of 19

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
T-4		Does EQ3/6 have the capability to predict interactions between J-13 or a carbonate water and tuff as a function of temperature?			
T-5		How has the code been improved to better model the minerals found in spent fuel and HLW glass and water interaction tests?			
T-6		What is the status of code development in the area of higher ionic strength solutions?			
				9 AUDITOR SIGNATURE _____	10 DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-02**

1 ORGANIZATION LLNL

2 Page 4 of 19

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,NA	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
T-7		What progress has been made in incorporating sorption and colloid species?			
T-8		What version of EQ3/6 is currently released? Has this version been completely debugged? Is the user's manual available for this version?			
T-9		How was this code validated? What is the role of peer review in this process?			

9 AUDITOR SIGNATURE \_\_\_\_\_

10 DATE \_\_\_\_\_



**OCRWM AUDIT CHECKLIST NO. 91-01-02**

1 ORGANIZATION LLNL

2 Page 5 of 19

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
T-10		How are DATA0 values "qualified" for use in the code? What role does the NEA play in this process?			
T-11		Describe the process for updating the code. Has this procedure worked satisfactorily?			
T-12		Describe any differences between current practice and those provided in the SQAP?			

9 AUDITOR SIGNATURE \_\_\_\_\_

10 DATE \_\_\_\_\_

**OCRWM AUDIT CHECKLIST NO. 91-01-02**

1 ORGANIZATION LLNL

2 Page 6 of 19

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,NA	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
T-13		What is required by the users for EQ3/6 to be used to model the release from the near and far field?			
T-14		What studies have been initiated regarding the compatibility of the waste package and rock materials and made-man materials?			
T-15		What is the status of the development of other codes, e.g. GEMBOCHS, INGRES, CATCH?			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-02**

1 ORGANIZATION LLNL

2 Page 7 of 19

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
	WBS 1.2.2.2.2	HYDROLOGIC PROPERTIES OF WASTE PACKAGE ENVIRONMENT			
	SIP-7	SIP for NNWSI WBS Element 12222 Waste Package Environment			
T-16	SIP-7	The SIP was approved 11/7/87. A Study Plan has been drafted to incorporate this SIP. What is the status of this Study Plan?			
T-17		Several new tasks are being conducted under the old SIP. What is the nature of these tasks? Are they scoping activities?			
T-18		How has the transition been made between the QA grading of the old SIP and the current activities?			
				9 AUDITOR SIGNATURE _____	10 DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-02**

1 ORGANIZATION LLNL

2 Page 8 of 19

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
T-19		Does the new Study Plan incorporate the new task under WBS 1.2.2.2.5 or has an Activity Plan been developed for it?			
T-20		How have the results from the G-Tunnel tests regarding water chemistry changes been incorporated into the R&D program?			
T-21		How have the results of the irradiation experiments at ANL been incorporated into the R&D program of rock/water interactions?			
				9 AUDITOR SIGNATURE _____	10 DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-02**

1 ORGANIZATION LLNL

2 Page 9 of 19

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,NA	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
T-22		How have the results from the rock/water interaction tests been incorporated into EQ3/6?			
T-23		What data needs have been identified for EQ3/6 based on the experiments conducted?			
T-24		EQ3/6 has been used to predict mineral formation as a result of rock/water interactions. What water chemistries have been used for these simulations?			

9 AUDITOR SIGNATURE \_\_\_\_\_

10 DATE \_\_\_\_\_

**OCRWM AUDIT CHECKLIST NO. 91-01-02**

1 ORGANIZATION LLNL

2 Page 10 of 19

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
T-25		How useful are the predictions of water chemistries provided by EQ3/6 over the expected containment period?			
T-26		How do the EQ3/6 simulations for vadose water compare with the available data?			
T-27		What can EQ3/6 tell us about the fracture flow water chemistry? Is this not more important than vadose water for radionuclide migration?			
				9 AUDITOR SIGNATURE _____	10 DATE _____

**OCRWM AUDIT CHECKLIST NO. 91-01-02**

1 ORGANIZATION LLNL

2 Page 11 of 19

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
T-28		Recent tuff fracture studies have shown that silica is carried over with steam. What is the mechanism for carry over and can other species be transported?			
T-29		Describe the equipment used for these studies and the methods used for the calibration of instruments.			

9 AUDITOR SIGNATURE \_\_\_\_\_ 10 DATE \_\_\_\_\_





**OCRWM AUDIT CHECKLIST NO. 91-01-02**

1 ORGANIZATION LLNL

2 Page 13 of 19

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
T-33		What remaining work is required to complete the matrix of Actinide and Technetium data?			
T-34		What fraction of this effort is performed or was performed by outside contractors? How was the quality of the results confirmed?			
T-35		How consistent are the data across experimentalists and as a function of temperature?			

9 AUDITOR SIGNATURE \_\_\_\_\_

10 DATE \_\_\_\_\_

**OCRWM AUDIT CHECKLIST NO. 91-01-02**

1 ORGANIZATION LLNL

2 Page 14 of 19

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,NA	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
T-36	TIP-GM-10  TIP-GM-12 TIP-GM-13  All	Verification of Data within the Thermo-Dynamic Database (T.D.) Review and Approval of T.D. Changes Inputting Changes to the T.D.  These TIPs have been in place for over one year. What problems have arisen in their implementation and what changes should be made to improve them?			
T-37		Are these TIPs consistent with the latest version of the SQAP?			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-02**

1 ORGANIZATION LLNL

2 Page 15 of 19

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
T-38	WBS 1.2.2.3.1.1  SIP-6	<p>WASTE FORM TESTING - SPENT FUEL</p> <p>YMP Spent Fuel Waste Form Testing</p> <p>The SIP was approved 11/06/87. It does not contain Activity Plan D-20-53. Is the SIP being revised to include this task? Will it then also include the WFCR?</p>			
T-39		<p>An internal grading report has been developed for this AP. However, it is not consistent with the approved QAGR for WBS 1.2.2.3. Explain the discrepancy in these documents, particularly the use of 18 rather than 20 criteria, and the exclusion of Criterion 9 in this AP.</p>			

9 AUDITOR SIGNATURE

10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-02**

1 ORGANIZATION LLNL

2 Page 16 of 19

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
T-40		What are the major differences between the test matrix for UO2 compared to spent fuel? Is the plan for spent fuel approved?			
T-41		Is the UO2 material prototypic of that used in LWRs? How was the simulated fuel fabricated, e.g. coprecipitated vs blending? Will the simulated fuel represent the major radionuclides of interest?			
T-42		With the J-13 water tests, will a buffer be used to control the pH? Why are these tests done separately from tests at the same temperature?			
				9 AUDITOR SIGNATURE	10 DATE

**OCRWM AUDIT CHECKLIST NO. 91-01-02**

**1 ORGANIZATION LLNL**

**2 Page 17 of 19**

<b>3 AUDIT ITEM NO.</b>	<b>4 QUALITY REQUIREMENT REFERENCE(S)</b>	<b>5 QUALITY REQUIREMENT/GUIDELINE</b>	<b>6 RESULTS S,X,N/A</b>	<b>7 SUMMARY OF INVESTIGATION</b>	<b>8 PERSON CONTACTED</b>
T-43		What is the tubing material for these tests and what interactions could occur between it and the flowing water?			
T-44		You measure the BET surface area, however, you do not control the SA/V ratio. Would there not be a SA/V effect?			
T-45		What standards (solutions, etc.) are used as a basis for the analytical effort? Can colloidal species be identified?			

**9 AUDITOR SIGNATURE**

**10 DATE**

OCRWM AUDIT CHECKLIST NO. 91-01-02

1 ORGANIZATION LLNL

2 Page 18 of 19

3 AUDIT ITEM NO.	4 QUALITY REQUIREMENT REFERENCE(S)	5 QUALITY REQUIREMENT/GUIDELINE	6 RESULTS S,X,N/A	7 SUMMARY OF INVESTIGATION	8 PERSON CONTACTED
T-46		How often are the analytical instruments calibrated?			
T-47		What was the basis for the flow rate chosen for these experiments?			
T-48		What additional TIPs have been developed as a result of this or the earlier D-20-49 activity?			

9 AUDITOR SIGNATURE \_\_\_\_\_

10 DATE \_\_\_\_\_



**YUCCA MOUNTAIN PROJECT  
AUDIT OBSERVER INQUIRY**

N-QA-084  
4/89

Audit No. \_\_\_\_\_

Log No. \_\_\_\_\_

Name \_\_\_\_\_ Organization \_\_\_\_\_

YMP Requirement Reference \_\_\_\_\_

Question/Concern \_\_\_\_\_

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Response \_\_\_\_\_

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\_\_\_\_\_  
Observer's Acknowledgement

*Cleared for Submittal to YMP Participant*

\_\_\_\_\_  
Lead Auditor / Lead Technical Specialist

Incorporated in YMP Audit Checklist...Ref \_\_\_\_\_

\_\_\_\_\_  
Audit Team Leader



**YUCCA MOUNTAIN PROJECT  
AUDIT OBSERVER INQUIRY**

**N-QA-084  
4/89**

Audit No. \_\_\_\_\_

Log No. \_\_\_\_\_

Name \_\_\_\_\_ Organization \_\_\_\_\_

YMP Requirement Reference \_\_\_\_\_

Question/Concern \_\_\_\_\_

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Response \_\_\_\_\_

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Observer's Acknowledgement

*Cleared for Submittal to YMP Participant*

\_\_\_\_\_  
Lead Auditor / Lead Technical Specialist

*Incorporated in YMP Audit Checklist...Ref*

\_\_\_\_\_  
Audit Team Leader

**YUCCA MOUNTAIN PROJECT  
AUDIT OBSERVER INQUIRY**

N-QA-084  
4/89

Audit No. \_\_\_\_\_

Log No. \_\_\_\_\_

Name \_\_\_\_\_ Organization \_\_\_\_\_

YMP Requirement Reference \_\_\_\_\_

Question/Concern \_\_\_\_\_

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Response \_\_\_\_\_

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Observer's Acknowledgement

*Cleared for Submittal to YMP Participant*

\_\_\_\_\_  
Lead Auditor / Lead Technical Specialist

*Incorporated in YMP Audit Checklist...Ref*

\_\_\_\_\_  
Audit Team Leader

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

<sup>14</sup> CAR NO. \_\_\_\_\_  
 DATE: \_\_\_\_\_  
 SHEET: \_\_\_\_\_ OF \_\_\_\_\_  
 QA  
 WBS NO.: \_\_\_\_\_

**CORRECTIVE ACTION REQUEST**

<sup>1</sup> Controlling Document \_\_\_\_\_ <sup>2</sup> Related Report No. \_\_\_\_\_

<sup>3</sup> Responsible Organization \_\_\_\_\_ <sup>4</sup> Discussed With \_\_\_\_\_

<sup>10</sup> Response Due \_\_\_\_\_ <sup>11</sup> Responsibility for Corrective Action \_\_\_\_\_ <sup>12</sup> Stop Work Order Y or N \_\_\_\_\_

<sup>5</sup> Requirement:

<sup>6</sup> Adverse Condition:

<sup>7</sup> Recommended Action(s):

<sup>8</sup> Initiator \_\_\_\_\_ Date: \_\_\_\_\_ <sup>9</sup> Severity Level -  
 1  2  3  <sup>13</sup> Approved by \_\_\_\_\_ Date: \_\_\_\_\_  
 OQA \_\_\_\_\_

<sup>15</sup> Verification of Corrective Action:

<sup>16</sup> Corrective Action Completed and Accepted: QAR \_\_\_\_\_ Date \_\_\_\_\_ <sup>17</sup> Closure Approved By: OQA \_\_\_\_\_

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

CAR NO. \_\_\_\_\_  
DATE: \_\_\_\_\_  
SHEET: \_\_\_\_\_ OF \_\_\_\_\_

**CORRECTIVE ACTION REQUEST  
(continuation sheet)**

Blank area for the continuation of the Corrective Action Request.



Department of Energy  
Yucca Mountain Project Office  
P. O. Box 98608  
Las Vegas, NV 89193-8608

QA RECEIVED

JUN 27 1990  
WBS 1.2.9.3  
QA

JUN 25 1990

Leslie J. Jardine  
Technical Project Officer  
for Yucca Mountain Project  
Lawrence Livermore National  
Laboratory  
P.O. Box 5514, L-217  
Livermore, CA 94551

YUCCA MOUNTAIN PROJECT OFFICE (PROJECT OFFICE) QUALITY ASSURANCE (QA) AUDIT  
90-02 OF LAWRENCE LIVERMORE NATIONAL LABORATORY (LLNL) (NN1-1990-3526)

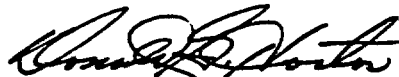
Enclosed is the report for QA Audit 90-02. The audit was conducted by the  
Project Office at the LLNL facilities in Livermore, California, on  
May 14 through May 18, 1990.

During the course of the audit, the audit team generated seven Standard  
Deficiency Reports (SDRs) and six observations.

Responses to the SDRs (which were sent to you via separate transmittal letter)  
are due within 20 working days of the date of the transmittal letter.  
Responses to the observations contained within Enclosure 2 of the enclosed  
audit report are due within 20 working days of the date this letter. The  
subject audit is considered complete as of the date of this letter; however,  
any open SDRs will continue to be tracked until each one has been closed to  
the satisfaction of the Lead Auditor and the Project Office.

Please send the original of each observation response to Nita J. Brogan,  
Science Applications International Corporation, Las Vegas, Nevada.

If you have any questions, please contact either James Blaylock at  
(702) 794-7913 or FTS 544-7913, or Gerard Heaney at (702) 794-7749  
or FTS 544-7749 of the Yucca Mountain Project QA staff.

  
Donald G. Horton, Director  
Quality Assurance  
Yucca Mountain Project Office

YMP:JB-3869

Enclosure:  
QA Audit 90-02 Report

PROJECT OFFICE QUALITY ASSURANCE AUDIT REPORT FOR

THE YUCCA MOUNTAIN PROJECT OFFICE AUDIT OF

LAWRENCE LIVERMORE NATIONAL LABORATORY

AUDIT NO. 90-02

CONDUCTED MAY 14-18, 1990

Prepared By: Gerard Heaney  
Gerard Heaney  
Audit Team Leader

Date: 6-14-90

Prepared By: Samuel C. Matthews  
Samuel C. Matthews  
Lead Technical Specialist

Date: 6-14-90

Approved By: James Blaylock  
Donald G. Horton, Director  
Quality Assurance  
Yucca Mountain Project Office

Date: 6/22/90

ENCLOSURE

## EXECUTIVE SUMMARY

Based on the limited work activity since the last Yucca Mountain Project Office (Project Office) Quality Assurance (QA) audit (Audit No. 89-06), the audit team found the Lawrence Livermore National Laboratory (LLNL) implementation of the QA program to be sufficiently effective, both technically and programmatically. The audit team, however, identified improvements in Criterion V, "Instructions, Plans, Procedures and Drawings," which would enhance the technical program.

The LLNL QA Program could be strengthened in the area of Criteria V "Instructions, Plans, Procedures and Drawings," which involves the generation and maintenance of plans and procedures, including the document review process. Technical and programmatic effectivity should be expected to improve as the LLNL QA Program develops and matures. Subsequent audits should provide additional insight into LLNL's ability to sustain continued improvement.

As a result of this audit, seven Standard Deficiency Reports (SDRs) and six Observations were issued. The audit team also generated six recommendations for LLNL to consider during future implementation of its QA program. During the course of the audit, LLNL was able to correct eight deficient conditions identified by the auditors. These deficient conditions and the actions taken to correct them are described in Section 6.4 of the audit report.

The audit team verified LLNL committed corrective actions to deficiencies previously identified in Project Office SDR Nos. 038, Revision 2; 090, Revision 1; 479, Revision 0; and 480, Revision 0. The audit team will recommend closure of these SDRs to the Project Office based upon the satisfactory verifications.

## 1.0 INTRODUCTION

This report contains the results of the Yucca Mountain Project Office (Project Office) Quality Assurance (QA) Audit No. 90-02 of the activities conducted by Lawrence Livermore National Laboratory (LLNL) in support of the Yucca Mountain Project. The audit was conducted at the LLNL facilities in Livermore, California, May 14-18, 1990 and performed in accordance with the requirements of the Project Office Quality Management Procedure QMP-18-01, Revision 3, "Audit System for the Waste Management Project Office." The QA program requirements to be verified were taken from the LLNL Quality Assurance Program Plan (QAPP), Revision 0, and applicable implementing procedures.

## 2.0 AUDIT SCOPE

The scope of the audit was to verify that the LLNL QA program meets the requirements of LLNL QAPP, Revision 0, dated December 13, 1988, and to verify the adequacy of implementation of the QA program. This was done by verifying that LLNL quality-affecting activities performed in support of the Yucca Mountain Project are being performed in compliance with requirements contained within LLNL QAPP, Revision 0, and supporting implementing procedures. In addition, the audit team performed verification of committed corrective actions to deficiencies previously identified in Project Office Standard Deficiency Report (SDR) Nos. 038, Revision 2; 090, Revision 1; 479, Revision 0; and 480, Revision 0.

The following program elements were audited:

- 1.0 Organization
- 2.0 Quality Assurance Program
- 3.0 Scientific Investigation Control and Design Control
- 4.0 Procurement Document Control
- 5.0 Instructions, Procedures, Plans, and Drawings
- 6.0 Document Control
- 7.0 Control of Purchased Items and Services
- 8.0 Identification and Control of Items, Samples, and Data
- 12.0 Control of Measuring and Test Equipment
- 13.0 Handling, Shipping, and Storage
- 15.0 Control of Nonconforming Items
- 16.0 Corrective Action
- 17.0 Quality Assurance Records
- 18.0 Audits

The following program elements, described in LLNL QAPP, Revision 0, were reviewed prior to and during the audit and were deemed to be not applicable to activities currently being performed by LLNL:



- 9.0 Control of Processes
- 10.0 Inspection
- 11.0 Test Control
- 14.0 Inspection, Test, and Operating Status

The audit scope included a review and evaluation of the following technical activities:

<u>WBS Number</u>	<u>Title</u>
1.2.2.3.2	Metal Barriers
Sub-activity (E-20-15)	Establishment of Selection Criteria
Sub-activity (E-20-18a)	Use of Linear-Sweep Polarization to Determine Pitting Potentials
Sub-activity (E-20-18c)	Parametric Studies of Metal Degradation and Microstructure: Measurement of Plane-Strain Fracture Toughness
Sub-activity (E-20-18d)	Parametric Studies of Metal Degradation and Microstructure: Measurement of Threshold Stress Intensity for Stress Corrosion Cracking
1.2.2.3.1	Waste Form
Sub-activity (D-20-45)	Low-Temperature Oven Method for Spent Fuel Oxidation Testing
1.2.1.4.2	Waste Package Performance Assessment
Sub-activity (I-20-20a)	Develop Scenario Identifications

In addition, the above technical activities were evaluated to determine adequacy in the following areas:

1. Technical qualifications of scientific investigation personnel.
2. Understanding of procedural requirements as they pertain to scientific investigation activities.
3. Adequacy of technical procedures.
4. Development of scientific investigation planning documents, study plans, work supporting the Site Characterization Plan (SCP), and any related work products.

The audit team also reviewed ongoing work at LLNL to confirm that the Software QA Program has not yet been implemented.

3.0 AUDIT TEAM PERSONNEL AND OBSERVERS

<u>Individual</u>	<u>Responsibility</u>
Gerard Heaney	Audit Team Leader
Amelia I. Arceo	Auditor
Anthony E. Cocoros	Auditor
Sidney L. Crawford	Auditor
Mario R. Diaz	Auditor
Richard L. Maudlin	Auditor
Robert B. Constable	Auditor-In-Training
James J. George	Auditor-In-Training
Thomas J. Higgins	Auditor-In-Training
Richard L. Weeks	Auditor-In-Training
Samuel C. Matthews	Lead Technical Specialist
Paul L. Cloke	Technical Specialist
U-Sun Park	Technical Specialist
David Stahl	Technical Specialist
James Conway	Lead Observer, U.S. Nuclear Regulatory Commission (NRC)
Diane Harrison-Giesler	Observer, Project Office
John E. Shaler	Observer, Technical and Management Support Services
Robert D. Brient	Observer, NRC
Kien C. Chang	Observer, NRC

#### 4.0 SUMMARY OF AUDIT RESULTS

##### 4.1 Statement of Program Effectiveness

Based on the limited work activity since the last Yucca Mountain Project Office (Project Office) Quality Assurance (QA) audit (Audit No. 89-06), the audit team found the Lawrence Livermore National Laboratory (LLNL) implementation of the QA program to be sufficiently effective, both technically and programmatically. The audit team, however, identified improvements in Criterion V, "Instructions, Plans, Procedures and Drawings," which would enhance the technical program.

The LLNL QA Program could be strengthened in the area of Criterion V "Instructions, Plans, Procedures, and Drawings," which involves the generation and maintenance of plans and procedures, including the document review process. This evaluation is based upon the following evidence examined during the audit:

1. Scientific Investigation Plans (SIPs), Activity Plans, and related Technical Implementing Procedures (TIPs) are not consistent. Planning documents and technical procedures did not reflect current plans for the activities audited (refer to SDR No. 540).
2. The document review process could be better defined within implementing procedures to ensure that all reviewer comments are addressed and dispositioned. In addition, the collection of QA records resulting from the document review process could be improved (refer to SDR No. 537 and Observation Nos. 90-02-01 and 90-02-02).

The document control system for the distribution and recall of documents was effectively implemented. The control of samples within LLNL is excellent and is in compliance with procedural requirements. The calibration program has made significant improvements in the qualification of calibration service suppliers. The corrective action system is functioning effectively as evidenced by the documentation of deficiencies and the implementation of corrective action within LLNL. The area of QA records processing is effective and in compliance with requirements. The personnel assigned to this area are cognizant of the requirements and are doing an excellent job, as evidenced by the audit team's ability to retrieve records from the Local Records Center (LRC) without delay. Finally, the implementation of the training and audit programs was effective and in compliance with requirements.

Project Office has approved the LLNL Software QA Program Plan and LLNL has completed its Software QA Implementation Plan. In addition,

LLNL staff have attended training sessions for the implementation plan. However, the Software Engineering Handbook, which will contain software QA implementation guidelines, has not yet been issued. Therefore, the implementation of the Software QA Program was not reviewed by the audit team.

#### 4.2 Summary of Technical Activities

The technical team focused on three major activities: Metal Barriers (WBS 1.2.2.3.2, sub-activities E-20-15, E-20-18a, E-20-18c, E-20-18d); Waste Form (WBS 1.2.2.3.1, sub-activity D-20-45); and Waste Package Performance Assessment (WBS 1.2.1.4.2, sub-activity I-20-20a). Technical evaluations emphasized four areas in accordance with the audit plan:

1. Technical qualifications of scientific investigation personnel.
2. Understanding of procedural requirements as they pertain to scientific investigation activities.
3. Adequacy of technical procedures.
4. Development of scientific investigation planning documents, study plans, work supporting the SCP, and any related work products.

The technical team found that in all activities examined the LLNL staff were qualified for the work that they were performing, based on (1) documentation in the LLNL training/personnel records, and (2) interviews with the staff. The staff also were cognizant of and understood procedural requirements that apply to the activities that they perform. Technical procedures were judged to be adequate overall, although many of the TIPS require revision, as noted during the audit by the audit team and LLNL staff. Development of scientific investigation planning documents were technically adequate, although, as is the case with the TIPS, many of the activity plans require updating (refer to SDR No. 540). Additionally, the interface between activity plans and specific TIPS could be strengthened with regard to the latter, the team noted that LLNL staff initiated a remedial action during the course of the audit relative to the metal barriers task.

The technical team believes that for the three activities and the four areas of investigation, the LLNL program is considered to be effective. However, effectivity could be strengthened as discussed below. The team is confident, however, that LLNL technical effectiveness will improve with time.

The technical team believes that effectiveness derives not only from technical excellence used in preparation of LLNL products, but also from excellence in the administrative and management processes as defined in procedures. The qualifications and technical excellence of the LLNL staff, based on the technical team's interactions with the staff during the audit, are clearly of a high standard. Further, the LLNL staff's desire for excellence was clear in all cases. However, process and procedural improvements, as noted in the programmatic portion of this audit, are necessary to achieve complete technical effectiveness. Additionally, LLNL staff commitment to these improvements must extend beyond simply executing the improvements and then proceeding without further concern. Specific improvements were recommended in a number of LLNL Quality Procedures (QPs), many of which were affected during the course of the audit, and in LLNL's implementation of Administrative Procedure AP-5.13Q.

In the latter case, wide variations existed from a technical viewpoint:

1. The readiness review of the E-20-15 activity seemed to work well.
2. The readiness review of the I-20-20a activity did not identify the eventual need for outside interfaces (admittedly a subjective opinion of the audit team).
3. The readiness review of the E-20-18c and E-20-18d activities failed to identify the need for baseline dimensional measurements prior to initiation of testing of samples. LLNL must still address this issue before this testing can begin. This may warrant additional LLNL procurement actions.

In addition, per other sections of this report, Activity Plans and TIPS can be improved in their integration and consistency.

#### 4.3 Summary of Findings

A total of seven SDRs were generated during the course of this audit. Information copies of the SDRs are attached as Enclosure 3. Six Observations were issued to LLNL and are attached as Enclosure 2. A synopsis of SDRs and observations is presented in Section 6.0 of this report. The audit team also generated six recommendations for LLNL to consider. Additionally, a synopsis of deficiencies that were corrected during the course of the audit is provided in Section 6.4.

## 5.0 AUDIT MEETINGS

### 5.1 Pre-audit Conference

A pre-audit conference was held with the LLNL Technical Project Officer (TPO) and his staff at the LLNL facilities in Livermore, California, at 10:30 a.m. on May 14, 1990. The purpose, scope, and proposed agenda for the audit were presented and the audit team was introduced. A list of attendees is attached as Enclosure 1.

### 5.2 Persons Contacted During the Audit

See Enclosure 1.

### 5.3 Post-audit Conference

The post-audit conference was held at the LLNL facilities in Livermore, California, at 11:00 a.m. on May 18, 1990. A summary of the audit and a synopsis of the preliminary SDRs and observations identified during the course of the audit were presented to the TPO and his staff. A list of attendees is attached as Enclosure 1.

### 5.4 Audit Status Meetings

Audit status meetings were held with the LLNL TPO, his key staff, and audit observers on each day of the audit. A status of how the audit was progressing and identification of discrepancies and concerns was discussed.

## 6.0 SYNOPSIS OF STANDARD DEFICIENCY REPORTS, OBSERVATIONS, RECOMMENDATIONS, AND DEFICIENCIES CORRECTED DURING THE AUDIT

### 6.1 Standard Deficiency Reports

SDR No. 536 The establishment of minimum qualifications for Readiness Review Board members as required by AP-5.13Q "Readiness Review," was not clearly documented. In addition, there was no objective evidence that the Readiness Review Board approved a required Review Record Memorandum.

- SDR No. 537 Record packages for several approved and issued TIPs and for the approved and issued Waste Form Scientific Investigation Plan could not to be found within the LLNL LRC.
- SDR No. 538 Purchase orders were issued as commercial grade items without addressing QA requirements in the purchase order. The purchase orders should have been issued as a service with assigned QA requirements.
- SDR No. 539 Purchase orders were issued with numerous differences in requirements from the related purchase requisitions.
- SDR No. 540 Activity plans and TIPs describing technical activities have inconsistencies. In several cases the activity plans and the TIPs do not accurately reflect changes that have occurred within the technical activities.
- SDR No. 541 LLNL implementing procedures do not require follow-up for observations generated as a result of surveillances and audits.
- SDR No. 544 LLNL corrective action implementing procedures do not include time limits for the evaluation of deficiency documents.

## 6.2 Observations

- 90-02-01 Procedure 033-YMP-QP 2.1, "Preparation, Approval and Revision of Quality Procedures and Requirements," Revision 1, which is used for the review of SIPs, Study Plans, Activity Plans, and TIPs, contains less stringent requirements for the review than procedure 033-YMP-QP 2.4, "Technical Review," Revision 0. It is recommended that all SIPs, Activity Plans, Study Plans, and TIPs be reviewed in accordance with the requirements of QP 2.4.
- 90-02-02 Procedure 033-YMP-QP 2.1 does not provide sufficient detail to ensure that technical reviews are adequately documented to the extent that all steps of the review process are traceable to the point of resolution and incorporation into the affected document.
- 90-02-03 Procedure 033-YMP-QP 15.0, "Nonconforming Items, Procedural Nonconformances and Conditions Adverse to Quality," Revision 0, does not have defined interfaces or references to procedure 033-YMP-QP 16.0, "Corrective Action," Revision 1.

- 90-02-04 Instron is providing calibration services for the waste package material testing activities. Since this calibration service is expected to recur on an annual basis, LLNL should consider performing the necessary actions to include Instron on the LLNL Yucca Mountain Project Qualified Suppliers List.
- 90-02-05 The dimensional measurements for the waste package material test specimens have not yet been obtained and recorded. In addition, LLNL TIPs do not describe the method of verification/inspection for this measuring activity.
- 90-02-06 Readiness review checklists were not completed or signed by the Readiness Review Board members for several readiness reviews that had been performed.

### 6.3 Recommendations

The audit team has developed six recommendations for LLNL to consider in future assessments of their program:

1. LLNL should re-examine sub-activity I-20-20a to evaluate the advisability of an early implementation of QP 3.5, "Technical Interface Control." Scenario identification should draw heavily from other internal LLNL activities, and this sub-activity could serve as the driver for some of these interfaces.
2. Similarly, LLNL should assess the need or advisability for an expanded set of Memoranda of Understanding (MOU) per AP-5.19Q in sub-activity I-20-20a. Specific MOUs could be developed with Los Alamos National Laboratory, the United States Geological Survey, and Sandia National Laboratories.
3. Revision numbers for SIPs and Activity Plans should be clearly identified on each page of these documents.
4. LLNL should consider improving internal traceability mechanisms to allow the development of a documentable trail back from final published documents to original data sources (e.g., scientific notebooks). This may be essential to provide timely responses during licensing hearing or legal proceedings.



5. Technical Area Leaders should review, and document their reviews, of scientific notebooks generated by their supporting technical staff on a regularly scheduled basis, perhaps quarterly. This should be in addition to reviews conducted at major shifts in activity emphasis or scope.
6. LLNL Nonconformance Report (NCR) No. 044 had a disposition that stated "Prepare a Change Notice..." The NCR was subsequently closed when the staff member responsible for implementing the disposition prepared the Change Notice. LLNL should refrain from closing deficiency documents until Change Notices are approved, thus avoiding the possibility that the procedure change might be altered during the review process and have an effect in the corrective action described on the NCR.

#### 6.4 Deficiencies Corrected During the Audit

LLNL corrected the following deficiencies during the course of the audit:

1. The LLNL Master Lists of TIPs, QA Requirements Specifications, and Activity Plans had not been issued monthly when changes had occurred as is required by procedure 033-YMP-QP 6.0, "Document Control," Revision 1. The LLNL Document Control staff made appropriate changes to the master lists and issued the lists during the audit.
2. Procedure 033-YMP-QP 6.0, "Document Control," Revision 1 Paragraph 6.0.5.3.1, requires the LLNL Yucca Mountain Project Records Manager or designee to indicate review and authentication of a revised table of contents by signing and dating the "Approved" box. Procedure 033-YMP-QP 15.0, "Nonconforming Items, Procedural Nonconformances and Conditions Adverse to Quality," Revision 0, states that the QA Manager performs several functions (i.e., assigns a sequential number to the NCR).

The functions described above were being performed without officially-delegated authority by staff members other than the Records Manager or the QA Manager.

During the audit, LLNL generated the delegation-of-authority letters necessary to close this concern.

3. LLNL QAPP, Section 033-YMP-R 5, "Instructions, Procedures, Plans and Drawings," Revision 0, Paragraph 1.0, states in part: "Activities affecting quality are prescribed by and performed in accordance with documented procedures. These documents include or reference appropriate quantitative or qualitative criteria..."

LLNL procedure 033-YMP-QP 5.0, "Technical Implementing Procedures," Revision 0, Paragraph 5.0.5.11, states that "TIPs include the following as applicable: acceptance and rejection criteria and limits including required levels of precision and accuracy if performed by other than the Task Leader or Principal Investigator."

QP 5.0 allows greater latitude than the QAPP, as evidenced by the above.

During the course of the audit, LLNL revised QP 5.0 by deleting the words "if performed by other than the Task Leader or Principal Investigator" to be in compliance with the QAPP (refer to Change Notice No. 5.0-0-4 to QP 5.0). Investigations during the audit indicated that TIPs did include accept/reject criteria as appropriate.

4. LLNL QAPP Section 033-YMP-R 5, "Instructions, Procedures, Plans and Drawings," Revision 0, Paragraph 4.0, states that "the LLNL-YMP provides the DOE Project Office QA Manager with controlled distribution of all implementing procedures, plans, and instructions..."

LLNL procedure 033-YMP-QP 2.0, "Assurance," Revision 0, Paragraph 2.0.4.c, states that "TIPs are distributed at the discretion of the TIP's author to holders and non-holders of the Yucca Mountain Project QAPP."

QP 2.0 allows greater latitude than the LLNL QAPP, as evidenced by the above.

During the course of the audit, LLNL revised QP 2.0 making it mandatory that a controlled copy of each TIP be forwarded to the Department of Energy Project Office QA Manager, thus ensuring compliance with the QAPP (refer to Change Notice No. 2.0-0-2).

5. During the course of the audit, it was observed that classroom training for an LLNL staff member was assigned but not completed due to other commitments. However, the staff member had read the procedure for which classroom training

was required and subsequently passed an examination for the procedure. LLNL revised procedure 033-YMP-QP 2.9, "Indoctrination and Training," to allow QA training to be accomplished by use of group classroom presentations, video presentations, a mandatory reading list, or other instructional methods (refer to Change Notice No. 2.9-1-2).

6. Procedure 033-YMP-QP-4.0, "Procurement Control and Documentation," Revision 1, was not consistent with the definition of "Commercial Grade Item" that was found in the LLNL QAPP, Appendix A. QP-4.0 was revised to be compatible with the QAPP (refer to Change Notice No. 4.0-1-2).
7. The resolution of reviewer comments for SIP No. SIP-PA-2, "SIP for Waste Package Assessment Activities Conceptual Design Cycle," were not originally documented. A memo to this review file was generated to document the resolution of the reviewer comments.
8. Procedure 033-YMP-QP-16.2, "Trend Analysis," included a requirement to trend QA audit or surveillance observations. This activity was not being performed. LLNL revised the procedure to delete this requirement, which is not a QAPP requirement (refer to Change Notice No. 16.2-1-1).

#### 7.0 RECOMMENDED ACTION

Responses to each SDR (delineated in Section 6.0) are due within 20 working days from the date of the SDR transmittal letter that was previously transmitted to LLNL (letter dated 06/05/90, Horton to Jardine). Upon response acceptance, and satisfactory verification of all remedial and corrective actions, the SDRs will be closed and LLNL will be notified (by letter) of the closure.

A written response is required for the observations contained in Enclosure 2 of this report. Responses are due within 20 working days from the date of the transmittal letter of this report.

Responses to the recommendations contained within Section 6.3 of this report are not required.

ENCLOSURE 1

LAWRENCE LIVERMORE NATIONAL LABORATORY  
AUDIT 90-02 ATTENDANCE ROSTER

<u>NAME</u>	<u>ORGANIZATION</u>	<u>TITLE</u>	<u>PRE-AUDIT</u>	<u>CONTACTED DURING AUDIT</u>	<u>POST AUDIT</u>
Aines, Roger	LLNL	TAL	X		
Arceo, Amelia I.	SAIC	Auditor	X	X	X
Ballou, Lyn	LLNL	Deputy Project Leader	X		X
Baumgarten, Kenneth L.	LLNL/YMP	Lead Auditor	X	X	X
Blink, James A.	LLNL	Deputy Project Leader	X	X	X
Bradley, Susan	LLNL	Resource Manager	X	X	X
Bryan, Barbara	LLNL	Project Administration	X	X	X
Brient, Robert D.	NRC	Observer	X	X	X
Chang, Kien C.	NRC	Observer	X	X	X
Chestnut, Dwayne A.	LLNL	TL, Hydrology	X		X
Clark, Joanne	LLNL	Secretary	X	X	X
Clarke, Willis R.	LLNL	TAL	X	X	X
Cloke, Paul L.	SAIC	Technical Specialist	X	X	
Cloninger, Michael O.	DOE/YMP	Chief, Field Eng.			X
Cocoros, A. Edward	MACTEC	Auditor	X	X	X
Constable, Robert B.	DOE/YMP	Auditor-In-Training	X	X	X
Conway, James T.	NRC	Observer	X	X	X
Crawford, Sidney L.	SAIC	Auditor	X	X	X
Dann, Robert K.	LLNL/YMP	Lead Auditor	X	X	
Day, Robert A.	LLNL	Task Leader	X		X
DeLeon, Gary	LLNL	QA Staff	X	X	X
Diaz, Mario R.	DOE/YMP	Auditor	X	X	X
Emerson, Don	LLNL	Task Leader			X
Farmer, Joseph C.	LLNL	Principal Investigator			X
Gdowski, Gregory E.	LLNL/KMI	Principal Investigator	X		X
George, James J.	CER	Auditor-In-Training	X	X	X
Glassley, William	LLNL	Task Leader	X	X	
Halsey, Bill	LLNL	Principal Investigator	X	X	
Hamati, Raymond E.	KEL	QA Engineer			X
Harrison-Giesler, Diane	DOE/YMP	Observer	X	X	
Heaney, Gerard	SAIC	Audit Team Leader	X	X	X
Higgins, Thomas J.	SAIC	Auditor-In-Training	X	X	X
Jardine, Leslie J.	LLNL	TPO	X	X	X
Johnson, James W.	LLNL	DataBase - Manager		X	
Johnson, Wendell	LLNL	Project Engineer	X	X	X
Kiraly, Deborah	LLNL	Rpts & Pub - Manager	X		
Lauen, J. Eugene	LLNL	QA Engineer	X	X	X

LAWRENCE LIVERMORE NATIONAL LABORATORY  
AUDIT 90-02 ATTENDANCE ROSTER

<u>NAME</u>	<u>ORGANIZATION</u>	<u>TITLE</u>	<u>PRE-AUDIT</u>	<u>CONTACTED DURING AUDIT</u>	<u>POST AUDIT</u>
Loder, Herman R.	LLNL	TL	X	X	
MacIntyre, Annette	LLNL	TL-Scenarios	X	X	X
Matthews, Samuel C.	SAIC	Lead Technical Spec.	X	X	X
Maudlin, Richard L.	MACTEC	Auditor	X	X	X
Mirke, Annemarie	LLNL	Task Leader	X		
O'Connell, William	LLNL	TAL	X	X	X
Park, U-Sun	SAIC	Technical Specialist	X	X	
Podonik, John	LLNL	Res. Plan. & Control	X	X	
Rameriez, Abelardo	LLNL	Task Leader	X		
Revelli, Michael	LLNL	Task Leader	X		X
Schwartz, Ronald	LLNL	Associate Energy Project Leader	X		
Shaler, John E.	SAIC	Observer		X	
Short, David	LLNL	QA Manager	X	X	X
Stahl, David	SAIC	Technical Specialist	X	X	
Stout, Raymond B.	LLNL	Task Leader	X	X	X
Van Konyenburg, Richard	LLNL	Principal Investigator	X	X	X
Van Lehn, Pat	LLNL	Calibration Coord.	X	X	X
Walden, Pat	LLNL	QA Staff		X	X
Weeks, Richard L.	SAIC	Auditor-In-Training	X	X	X
Woolery, Thomas J.	LLNL	Code Development & TL	X	X	
Yunker, Lee	LLNL	Department Head, E.S.			X
Zucconi, Lin	LLNL	Software Quality Mgr.	X	X	

ENCLOSURE 2

YUCCA MOUNTAIN PROJECT OFFICE  
1 YMPO OBSERVATION NO. 90-02-01

N-QA-012  
4/89

Completed by Originating Organization	2 Noted During: YMP Audit 90-02		3 Identified By: R. Maudlin		4 Date: May 18, 1990	
	5 Organization: LLNL		6 Person(s) Contacted: J. Blink, D. Short		7 Response Due Date is 20 Days from Date of Transmittal	
	8 Discussion:  The application of procedure 033-YMP-QP 2.1 "Preparation, Approval and Revision of Quality Procedures and Requirements", Rev. 1 for the technical review of Scientific Investigation Plans, Study Plans, Activity Plans, and Technical Implementing Procedures does not appear to appropriately address sufficient requirements to assure technical adequacy. QP 2.1, para 2.1.1 (Purpose) states: "This procedure describes the requirements for preparation, review, approval, and revision of Quality Procedures (QP) and Quality Assurance Program Plan (QAPP)." The only specific review criteria directed specifically					
Completed by Respondee	9 QAE/Lead Auditor <i>Gerard Heaney</i>		Date 6-4-90		10 Branch Manager <i>Arthur H. ...</i>	
					Date 6-5-90	
Completed by QA Org.	11 Response:					
	12 Signature: _____ Date: _____					
Completed by QA Org.	13 Response Receipt Acceptable <input type="checkbox"/>					
	Initiator	Date	QA/Lead Auditor	Date		
14 Remarks:						
Page 1 of 2						



## 8 Discussion: ( continued )

at the review of SIPs, Study Plans, Activity Plans, TIPs requires that these documents be reviewed for:

- o repeatability of the activity
- o impact on the site waste isolation capability
- o interface with site characterization

In contrast, a review of procedure 033-YMP-QP 2.4 "Technical Review", Rev. 0, para. 2.4.1 states in part: "This procedure describes the requirements for the technical review of Quality Level I and II activities performed under the direction of the Yucca Mountain Project." Para. 2.4.4.5 states in part: "The technical review is a detailed review process intended to provide assurance that the design/investigation is correct and satisfactory. As a minimum, the following are considered:"

- A) Whether the design/investigation inputs are correctly selected.
- B) Whether the assumptions necessary to perform the activity are adequately described and are reasonable.
- C) Whether an appropriate method(s) has been used.
- D) Whether or not the design/investigation inputs are correctly incorporated into the activity.
- E) Whether the design outputs are reasonable when compared to the inputs.
- F) Whether the necessary design outputs and verification requirements for interfacing organizations have been specified in the study/design documents or in supporting procedures or instructions.
- G) Whether the computer programs used for analysis are identified and verified.

It is difficult to rationalize why a scientific notebook is reviewed to QP 2.4, but a SIP or Activity Plan which provides overall technical criteria for implementing the requirements of the SCP is reviewed to the less stringent requirements contained within QP 2.1.

It is recommended that all SIPs, Activity Plans, Study Plans, and TIPs be reviewed in accordance with the requirements of QP 2.4.

YUCCA MOUNTAIN PROJECT OFFICE  
1 YMPO OBSERVATION NO. 90-02-02

N-QA-012  
4/89

Completed by Originating Organization

2 Noted During:  
YMP Audit 90-02

3 Identified By:  
R. Maudlin

4 Date:  
May 18, 1990

5 Organization:  
LLNL

6 Person(s) Contacted:  
D. Short

7 Response Due Date  
is 20 Days from Date  
of Transmittal

8 Discussion:

Procedure 033-YMP-QP 2.1 "Preparation, Approval, and Revision of Quality Procedures and Requirements", Rev. 1 does not provide sufficient detail to assure that technical reviews of Scientific Investigation Planning documents (SIPs) and Activity Plans are adequately documented to the extent that all steps are traceable to the point of resolution and incorporation into the affected document. This observation was determined by review of the technical review documentation for the SIP and the Activity Plan for "Waste Package Performance Assessment", Rev. 0. Examples of concerns found were:

9 QAE/Lead Auditor

Date

10 Branch Manager

Date

*Gerard Heaney*

*6-4-90*

*Allen H. [Signature]*

*for 6-5-90*

Completed by Respondee

11 Response:

12 Signature:

Date:

13 Response Receipt Acceptable

Initiator

Date

QA/Lead Auditor

Date

Completed by QA Org.

14 Remarks:

8 Discussion: ( continued )

- A) Several comments could not be traced back to the originator of the comments.
- B) Where comments were rejected, the basis for rejection was not documented.
- C) It was unclear as to who resolved the comments.
- D) Documentation was not available to reflect that the comments had been appropriately resolved and that a review was performed to verify that resolutions to the comments were adequately incorporated.

These concerns appear to stem from the lack of clear procedural guidance for documenting the review process.

It is recommended to consider revising QP 2.1 to provide detailed guidance on how the technical review process is to be documented. Provide such details as:

- A) Signature of the reviewer and the date the review was performed.
- B) Clear accept/reject of each comment by the document originator and signature and date of the originator resolving the comments.
- C) Where a comment is rejected, document the justification for rejection and concurrence of the person who provided the comment.
- D) Signed and dated review attesting that all comments have been appropriately incorporated.

YUCCA MOUNTAIN PROJECT OFFICE  
1 YMPO OBSERVATION NO. 90-02-03

N-QA-012  
4/89

Completed by Originating Organization

2 Noted During: YMP Audit 90-02	3 Identified By: M. Diaz	4 Date: May 18, 1990
5 Organization: LLNL	6 Person(s) Contacted: D. Short, G. DeLeon	7 Response Due Date is 20 Days from Date of Transmittal
8 Discussion:  LLNL has adopted the practice of processing all identified deficiencies as nonconformances through the process defined in procedure 033-YMP-QP 15.0 "Nonconforming Items, Procedural Nonconformances and Conditions Adverse To Quality". This procedure does not define interfaces or make reference to procedure 033-YMP-QP 16.0 "Corrective Action". QP 16.0 would be used to generate a Corrective Action Report if a nonconformance report was evaluated and found to be considered a significant condition adverse to quality.		

9 QAE/Lead Auditor <i>Gerard Heaney</i>	Date <i>6-4-90</i>	10 Branch Manager <i>Catherine Hanlon</i>	Date <i>6-5-90</i>
--	-----------------------	--	-----------------------

Completed by Respondee

11 Response:

12 Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Completed by QA Org.

13 Response Receipt Acceptable

Initiator	Date	QA/Lead Auditor	Date
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14 Remarks:

YUCCA MOUNTAIN PROJECT OFFICE  
1 YMPO OBSERVATION NO. 90-02-04

N-QA-012  
4/89

Completed by Originating Organization	2 Noted During: YMP Audit 90-02		3 Identified By: S. L. Crawford		4 Date: May 18, 1990	
	5 Organization: LLNL		6 Person(s) Contacted: W. Clarke, J.E. Lauen		7 Response Due Date is 20 Days from Date of Transmittal	
	8 Discussion:  Calibration of Instron equipment to be used for material testing of waste package candidate materials (WBS 1.2.2.3.2) was performed by Instron personnel as an on-site technical service per purchase order B112969B and LLNL procedure 033-YMP-QP 4.0 "Procurement Control and Documentation" Rev.1, para. 4.0.5.11c. The requirements of QP 4.0 were met, however, since the calibration service is expected to recur on an annual basis, LLNL should:  1) Obtain a copy of the Instron MIL-STD-45662A quality program description to					
Completed by Respondee	9 QAE/Lead Auditor <i>Gerard Heaney</i>		Date <i>6-4-90</i>		10 Branch Manager <i>William Lauen</i>	
					Date <i>6-8-90</i>	
Completed by QA Org.	11 Response:					
	12 Signature: _____ Date: _____					
Completed by QA Org.	13 Response Receipt Acceptable <input type="checkbox"/>					
	Initiator _____		Date _____		QA/Lead Auditor _____	
14 Remarks:						
<table border="1" style="float: right;"> <tr> <td>Page <u>1</u> of <u>2</u></td> </tr> </table>						Page <u>1</u> of <u>2</u>
Page <u>1</u> of <u>2</u>						

8 Discussion: ( continued )

assure administrative controls supporting personnel qualifications and NIST traceability are adequate.

- 2) Include Instron on the LLNL YMP Qualified Supplier List.

YUCCA MOUNTAIN PROJECT OFFICE  
1 YMPO OBSERVATION NO. 90-02-05

N-QA-012  
4/89

Completed by Originating Organization	2 Noted During: YMP-Audit 90-02		3 Identified By: S.L. Crawford		4 Date: May 18, 1990	
	5 Organization: LLNL		6 Person(s) Contacted: W. Clarke, D. McCright		7 Response Due Date is 20 Days from Date of Transmittal	
	8 Discussion:  LLNL Technical Implementing Procedure TIP-CM-05 "Determination of Threshold Stress Intensity for Stress Corrosion Cracking Using Modified WOL Specimens" Rev. 0, para. 6.4 provides for verification of critical dimensions for modified WOL material test specimens.  1) Although the material test specimens have not been used for Activity E-20-18d yet, the dimensional measurements have not been obtained and recorded.					
Completed by Respondee	9 QAE/Lead Auditor <i>Gerald Heaney</i>		Date <i>6-4-90</i>		10 Branch Manager <i>Catherine H...</i>	
					Date <i>6-5-90</i>	
Completed by QA Org.	11 Response:					
	12 Signature: _____ Date: _____					
Completed by QA Org.	13 Response Receipt Acceptable <input type="checkbox"/>					
	Initiator _____		Date _____		QA/Lead Auditor _____	
14 Remarks:						

8 Discussion: ( continued )

- 2) Related procedure TIP-CM-1 "Determination of Plane-Strain Fracture Toughness and the Threshold Stress Intensity for Stress Corrosion Cracking" Rev. 0 does not provide for verification of critical dimensions for plane-strain fracture toughness  $J_{Ic}$  material test specimens.



YUCLA MOUNTAIN PROJECT OFFICE  
1 YMPO OBSERVATION NO. 90-02-06

N-QA-012  
4/89

Completed by Originating Organization	2 Noted During: YMP Audit 90-02		3 Identified By: S. L. Crawford		4 Date: May 18, 1990	
	5 Organization: LLNL		6 Person(s) Contacted: W. Clarke		7 Response Due Date is 20 Days from Date of Transmittal	
	8 Discussion: The final readiness review checklists for LLNL activities E-20-15, E-20-18a, E-20-18c, and E-20-18d which incorporated Readiness Review Board resolved comments, were not completed with checks in the "Accept" column and were not signed by the Readiness Review Board members. The previous version of the readiness review checklists and the Readiness review Comment Record forms were signed by the Readiness Review Board members. The specific checklists that were not completed or signed are:					
Completed by Respondee	9 QAE/Lead Auditor <i>Gerard Henney</i>		Date <i>6-4-90</i>		10 Branch Manager <i>John Humphreys</i>	
					Date <i>6-5-90</i>	
Completed by QA Org.	11 Response:					
	12 Signature: _____ Date: _____					
Completed by QA Org.	13 Response Receipt Acceptable <input type="checkbox"/>					
	Initiator _____		Date _____		QA/Lead Auditor _____	
14 Remarks:						
Page <u>1</u> of <u>2</u>						

CONTINUATION PAGE

8 Discussion: ( continued )

Activity	Checklist Rev.	Document No.	RR Package No.
E-20-15	B (8/1/89)	LLYMP8912111G	RR003 E-20-15
E-20-18a	B (7/31/89)	LLYMP8912089G	RR004 E-20-18a
E-20-18c	B (7/31/89)	LLYMP8912110G	RR005 E-20-18c
E-20-18d	B (7/31/89)	LLYMP8912109G	RR006 E-20-18d

The readiness review packages were transmitted to and accepted by the LLNL Local Records Center.

ENCLOSURE 3

Y PO STANDARD DEFICIENCY REPORT

N-QA-038  
4/89

Completed by Originating QA Organization	1 Date May 18, 1990		2 Severity Level <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2 <input type="checkbox"/> 3		Page 1 of 2
	3 Discovered During YMP Audit 90-02		3a Identified By R. Maudlin		4 SDR No. 536 Rev. 0
	5 Organization LLNL		6 Person(s) Contacted J. Blink, D.Short		7 Response Due Date is 20 Working Days from Date of Transmittal
	8 Requirement (Audit Checklist Reference, if Applicable) Project Procedure AP-5.13Q "Readiness Review" Rev. 0, para. 4.5 states in part: "The Board approves the completed checklist and the Review Record Memorandum."				
Completed by Organization in Block 5	9 Deficiency Contrary to the above, for several readiness review files reviewed during the audit:				
	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective 1. Issue a memo to the appropriate readiness review files acknowledging this SDR.				
	11 QAE/Lead Auditor/Date <i>Gerard Keaney 5-23-90</i>		12 Division Manager/Date N/A		13 Project Quality Mgr./Date <i>[Signature] 5-29-90</i>
	14 Remedial/Investigative Action(s)  15 Effective Date _____				
Completed by Org. QA Org.	16 Cause of the Condition & Corrective Action to Prevent Recurrence  17 Effective Date _____				
	18 Signature/Date				
	19 Response Accepted	QAE/Lead Auditor/Date	Division Manager/Date	Project Quality Mgr./Date	
20 Corrective Action Verif. Satisfactory	QAE/Lead Auditor/Date	Division Manager/Date	Project Quality Mgr./Date		
21 Remarks					
22 QA CLOSURE	QAE/Lead Auditor/Date	Division Manager/Date	PQM/Date		

ENCLOSURE

SDR No. 536

Page 2 of 2

8 Requirement ( continued )

AP-5.13Q Rev. 0, para. 5.2.1 states in part: "The Readiness Review Board Chairperson performs the following:

1. Determines the technical disciplines to be used to accomplish the scope and purpose of the review.
2. Establishes minimum qualifications (e.g., education, experience and independence) needed by Review Board members to provide the technical disciplines to accomplish the scope and purpose of the review.

(Refer to audit checklist item no. 3-8)

9 Deficiency ( continued )

1. No objective evidence could be provided to reflect approval of the Review Record Memorandum by the Readiness Review Board.
2. No objective evidence could be provided to identify that the Readiness Review Board Chairperson: a) made a determination of the technical disciplines to be used; and b) established the minimum qualifications needed by Readiness Review Board members for technical disciplines to be used.

10 Recommended Actions ( continued )

2. Establish and document the technical disciplines to be used to accomplish the scope and purpose of the review.
3. Establish and document the qualifications (education, experience, and independence) needed by Review Board Members.
4. Review the qualifications of the personnel who performed readiness reviews to ensure adequacy for each specific readiness review performed. Annotate each file accordingly.
5. Evaluate the impact on quality as a result of this SDR.

YMP/PO STANDARD DEFICIENCY REPORT

N-QA-038  
4/89

Completed by Originating QA Organization	1 Date May 18, 1990		2 Severity Level <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2 <input type="checkbox"/> 3		Page 1 of 2
	3 Discovered During YMP Audit 90-02		3a Identified By A. Areco R. Maudlin		4 SDR No. 537 Rev. 0
	5 Organization LLNL		6 Person(s) Contacted W. L. Clark, B. Bryan		7 Response Due Date is 20 Working Days from Date of Transmittal
	8 Requirement (Audit Checklist Reference, if Applicable) PART A LLNL Procedure 033-YMP-QP 2.1 "Preparation, Approval and Revision of Quality Procedures and Requirements", Rev. 1, para. 2.1.4.3 states in part:				
Completed by Organization in Block 5	9 Deficiency PARTS A & B There was no objective evidence available during the audit to assure the that the review process described in QP 2.1 or the LLNL QAPP was followed as				
	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective PARTS A & B 1. Issue a memo to the appropriate document review files acknowledging this				
	11 QAE/Lead Auditor/Date <i>Gerard Heaney 5-23-90</i>	12 Division Manager/Date N/A		13 Project Quality Mgr./Date <i>William H. ... 5-29-90</i>	
Completed by Org. QA Org.	14 Remedial/Investigative Action(s)				
	15 Effective Date _____				
	16 Cause of the Condition & Corrective Action to Prevent Recurrence				
17 Effective Date _____					
18 Signature/Date					
19 Response Accepted		QAE/Lead Auditor/Date	Division Manager/Date	Project Quality Mgr./Date	
20 Corrective Action Verif. Satisfactory		QAE/Lead Auditor/Date	Division Manager/Date	Project Quality Mgr./Date	
21 Remarks					
22 QA CLOSURE		QAE/Lead Auditor/Date	Division Manager/Date	PQM/Date	

8 Requirement ( continued )

1. "Review copies are distributed by the originator for review as identified in Exhibit A."
2. "Review copies are accompanied by a memo identifying the comments due date, clarifying information and any special instructions."
3. "The originator prepares a package of review copy pages with major comments and submits the memo and the package to the Local Records Center with the Records Transmittal."

LLNL Procedure 033-YMP-QP 17.0 "Quality Assurance Records", Rev. 1, para. 17.0.5.2 states in part: "When an activity has been completed, the Task Leader will collect and transmit to the LRC records generated by that activity not previously submitted."  
(Refer to audit checklist item nos. 5-2 and 17-1)

PART B

The LLNL QAPP 033-YMP-R 3, Rev. 0, para. 1.3.1 states in part: "The LLNL-YMP conducts a technical review of the scientific investigation planning document.... The results of this technical review, and the resolution of any comments by the reviewer or reviewers, are documented, and become a part of the QA records."  
(Refer to audit checklist item no. 3-11)

9 Deficiency ( continued )

evidenced by the lack of document review packages at the LRC for the documents listed below:

Document	Revision	Approval Date	Issue Date
TIP-CM-01	0	10/09/89	10/09/89
TIP-CM-02	0	10/17/89	10/17/89
TIP-CM-03	0	10/17/89	10/17/89
TIP-CM-04	0	10/17/89	10/17/89
TIP-CM-05	0	12/21/89	01/22/90
TIP-CM-06	0	01/17/90	01/22/90
TIP-CM-07	0	01/26/90	01/26/90
SIP for Spent Fuel Waste Form Testing	0.5	05/23/89	

10 Recommended Actions ( continued )

- SDR.
2. Instruct appropriate personnel to procedural requirements identified in this SDR.
  3. Review to ensure that the appropriate review was performed although a review package might not exist for the reviews performed.
  4. Determine the impact on quality due to the SDR.

YMPO STANDARD DEFICIENCY REPORT

N-QA-038  
4/89

Completed by Originating QA Organization	1 Date May 18, 1990		2 Severity Level <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2 <input type="checkbox"/> 3		Page 1 of 2	
	3 Discovered During YMP Audit 90-02		3a Identified By S. Crawford		4 SDR No. 538 Rev. 0	
	5 Organization LLNL		6 Person(s) Contacted W. Clark, R. McCright		7 Response Due Date is 20 Working Days from Date of Transmittal	
	8 Requirement (Audit Checklist Reference, if Applicable) The LLNL QAPP, section 033-YMP-R Appendix A, Rev. 0 defines "Service" as "The performance of activities that include but are not limited to site characterization, design, fabrication, investigation, inspection,					
Completed by Organization in Block 5	9 Deficiency Candidate waste package container material test coupons were machined by Metcut Research Associates Inc. under LLNL purchase order nos. B108259, B108294, and B109028. These purchase orders were issued as "Commercial					
	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective 1. Identify other purchase orders issued to Metcut for machining test coupons and material samples which have similar deficiencies.					
	11 QAE/Lead Auditor/Date <i>Gerrard Heaney 5-23-90</i>		12 Division Manager/Date <i>N/A</i>		13 Project Quality Mgr./Date <i>Catherine [Signature] 5-29-90</i>	
Completed by Org. QA Org.	14 Remedial/Investigative Action(s)					15 Effective Date _____
	16 Cause of the Condition & Corrective Action to Prevent Recurrence					17 Effective Date _____
	18 Signature/Date					
Comp. by Org. QA Org.	19 Response Accepted		QAE/Lead Auditor/Date	Division Manager/Date	Project Quality Mgr./Date	
	20 Corrective Action Verif. Satisfactory		QAE/Lead Auditor/Date	Division Manager/Date	Project Quality Mgr./Date	
	21 Remarks					
22 QA CLOSURE		QAE/Lead Auditor/Date	Division Manager/Date	PQM/Date		



SDR No. 538

Page 2 of 2

8 Requirement ( continued )

nondestructive examination, repair, or installation."  
(Refer to audit checklist item no. 3-13, 3-14, and 3-15)

9 Deficiency ( continued )

Grade Items" without addressing quality assurance requirements in the purchase order. LLNL provided the material used to fabricate the test coupons. The purchase order should have been issued as a "service" procurement with an assigned quality level commensurate with the LLNL assigned QA Level II for the activity (E-20-18) related to the material tests. The data obtained from this activity will be used as direct input for the metal barrier selection activity (E-20-19) which is assigned QA Level I.

In addition, Metcut Research Associates Inc. was not on the LLNL Qualified Supplier List.

10 Recommended Actions ( continued )

2. Investigate to determine if the issuance of the purchase orders to Metcut without the inclusion of QA requirements has any adverse impact on the test coupons supplied to LLNL.
3. Perform the actions necessary to place Metcut on the Qualified Supplier List if Metcut is to perform similar services in the future.
4. Train appropriate personnel to requirements.

YMPO STANDARD DEFICIENCY RE-ORT

N-QA-038  
4/89

Completed by Originating QA Organization	1 Date May 18, 1990		2 Severity Level <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2 <input type="checkbox"/> 3		Page 1 of 2	
	3 Discovered During YMP Audit 90-02		3a Identified By S. Crawford		4 SDR No. 539 Rev. 0	
	5 Organization LLNL		6 Person(s) Contacted W. Clark, R. McCright		7 Response Due Date is 20 Working Days from Date of Transmittal	
	8 Requirement (Audit Checklist Reference, if Applicable) LLNL Procedure 033-YMP-QP 4.0 "Procurement Control and Documentation", Rev. 1, para. 4.0.5.7.4 states "For all QA Level I and II procurement actions (whether sole source, subject to bid, or handled by SANL memorandum) the QA Manager					
	9 Deficiency LLNL purchase orders B108259, B108294, and B109028 were issued to Metcut Research Associates Inc. with numerous differences in requirements from the related purchase requisitions 336608, 336613, and 336610 respectively. The					
	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective 1. Identify other purchases issued to Metcut which have similar deficiencies.					
	Completed by Organization in Block 5	11 QAE/Lead Auditor/Date <i>Gerard Heaney 5-23-90</i>		12 Division Manager/Date N/A		13 Project Quality Mgr./Date <i>Allen Thompson 5-29-90</i>
		14 Remedial/Investigative Action(s)				15 Effective Date _____
	16 Cause of the Condition & Corrective Action to Prevent Recurrence				17 Effective Date _____	
	18 Signature/Date					
Comp. by Orig. QA Org.	19 Response Accepted		QAE/Lead Auditor/Date	Division Manager/Date	Project Quality Mgr./Date	
	20 Corrective Action Verif. Satisfactory		QAE/Lead Auditor/Date	Division Manager/Date	Project Quality Mgr./Date	
	21 Remarks					
22 QA CLOSURE		QAE/Lead Auditor/Date	Division Manager/Date	PQM/Date		

SDR No. 539

Page 2 of 2

8 Requirement ( continued )

(or his designee) reviews the final procurement documents prior to release to assure consistency with the initial procurement memorandum request. This review is documented on the notification form and is retained in the Resource Manager's files.

(Refer to audit checklist item no. 3-15)

9 Deficiency ( continued )

purchase orders were issued 11/7/89; however, objective evidence provided during the audit indicates the purchase requisitions to be reviewed by the QA Manager 12/15/89.

Examples of differences include:

1. Purchase requisitions provide for machining to be in accordance with the Metcut QA Program; the purchase orders do not include this requirement.
2. Purchase requisitions provide specific labeling instructions for coupon identification; identification requirements are not included in the purchase orders.
3. Purchase requisition 336608 required fatigue precracking at 1-2 Hz using a triangular load waveform; purchase order B108259 requires precracking at 30 Hz using sinoidal waveform.
4. The purchase orders identify the material as LLNL supplied; the purchase requisitions do not identify the source of the material.

10 Recommended Actions ( continued )

2. Investigate to determine if the differences between the purchase orders and the purchase requisitions has adverse effect on the products delivered.
3. Retrain appropriate personnel to procedural requirements.

YMPO STANDARD DEFICIENCY REPORT

N-QA-038  
4/89

Completed by Originating QA Organization	1 Date May 18, 1990		2 Severity Level <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2 <input type="checkbox"/> 3		Page 1 of 2	
	3 Discovered During YMP Audit 90-02		3a Identified By S. Crawford		4 SDR No. 540 Rev. 0	
	5 Organization LLNL		6 Person(s) Contacted D. Short, J. Blink		7 Response Due Date is 20 Working Days from Date of Transmittal	
	8 Requirement (Audit Checklist Reference, if Applicable) The LLNL QAPP, Section 033-YMP-R 3, Rev. 0, para. 1.1.2 states in part: "Scientific planning documents consist of .... Scientific Investigation Plans for all other activities (other than site characterization activities).					
Completed by Organization in Block 5	9 Deficiency The Scientific Investigation Plan for Metal Barrier Selection and Testing, Rev. 0 (WBS 1.2.2.3.2); Activity Plans for sub-activities E-20-15, E-20-18a, E-20-18c, E-20-18d; and related Technical Implementing Procedures were not					
	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective 1. Review and revise all Scientific Investigation Plans, Activity Plans, and Technical Implementing Procedures for the Metal Barrier Activity					
	11 QAE/Lead Auditor/Date <i>Gerard Heaney 5-23-90</i>		12 Division Manager/Date <i>N/A</i>		13 Project Quality Mgr./Date <i>Thomas [Signature] 5-29-90</i>	
Completed by Org. QA Org.	14 Remedial/Investigative Action(s)					
	15 Effective Date _____					
	16 Cause of the Condition & Corrective Action to Prevent Recurrence					
17 Effective Date _____						
18 Signature/Date						
19 Response Accepted		QAE/Lead Auditor/Date	Division Manager/Date		Project Quality Mgr./Date	
20 Corrective Action Verif. Satisfactory		QAE/Lead Auditor/Date	Division Manager/Date		Project Quality Mgr./Date	
21 Remarks						
22 QA CLOSURE		QAE/Lead Auditor/Date	Division Manager/Date		PQM/Date	

8 Requirement ( continued )

These documents also identify additional planning documents called Activity Plans which are prepared for each activity or a combination of activities. Activity Plans provide the sequence and details of how the work is performed and how applicable QA procedures are implemented."

(Refer to audit checklist item no. 3-14)

9 Deficiency ( continued )

fully consistent for experiment requirements and quality assurance levels. In addition, the planning documents and technical procedures did not reflect current plans for the investigation, although readiness reviews had been conducted and the activities had been authorized to restart.

Examples include:

1. Candidate materials identified by the SIP for "Metal Barrier Selection and Testing" (WBS 1.2.2.3.2) Rev. 0, TIP-CM-1 Rev. 0, and TIP-CM-5 Rev. 0 include alloys CDA 102 copper and CDA 613 aluminum-bronze. The actual alloys used to fabricate test coupons for plane-strain fracture toughness (Activity E-20-18c) and threshold stress intensity for stress corrosion cracking (Activity E-20-18d) are CDA 122 and CDA 614. Although the substituted alloys are closely related, the technical basis and justification for deviating from the designated candidate materials should be documented at the SIP or Activity Plan Level.
2. Activity Plan E-20-18c as amended by Change Notice E-20-18c-0-1 included material tests (J1c). These tests are not detailed in TIP-CM-1, which is the applicable TIP for the activity. TIP-CM-1 provides details for performing material tests (K1c) which, although described in Activity Plan E-20-18c, are not intended to be performed. The test coupon configuration shown in TIP-CM-1, Figure 7, is for K1c tests and is not the same test coupon configuration to be actually used for the J1c tests.
3. Activity Plans E-20-18c and E-20-18d identify the fracture toughness and threshold stress intensity tests as QA Level II. The attached statement of work (Appendix II) for subcontracted services identifies Task 3 as QA Level I. Although this discrepancy is no longer a concern because the subcontractor assigned to perform the work will no longer be used, Readiness Reviews RR005 and RR006 had identified the discrepancy and the resolution was that the activity plan has been modified to incorporate this change. The activity plan was not corrected.

10 Recommended Actions ( continued )

- to ensure consistency and accurate reflection of the technical work to be performed.
2. Investigate to determine if the inconsistencies have had an adverse impact to the quality of the work performed.

YMPO STANDARD DEFICIENCY REPORT

N-QA-038  
4/89

Completed by Originating QA Organization	1 Date May 18, 1990		2 Severity Level <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2 <input type="checkbox"/> 3		Page 1 of 2
	3 Discovered During YMP Audit 90-02		3a Identified By M. Diaz		4 SDR No. 541 Rev. 0
	5 Organization LLNL		6 Person(s) Contacted D. Short		7 Response Due Date is 20 Working Days from Date of Transmittal
	8 Requirement (Audit Checklist Reference, if Applicable) The LLNL QAPP Section 033-YMP-R 18, Rev. 0, para. 1.0 states in part: "All deficiencies, nonconformances, and potential quality problems identified during the audit are documented and monitored until verification of effective				
	9 Deficiency Contrary to the above requirements, LLNL Procedures 033-YMP-QP 18.0 "Audits", Rev. 0 and 033-YMP-QP 18.1 "Surveillances", Rev. 1 did not require observations that were generated as a result of audits and surveillances				
Completed by Organization in Block 5	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective				
	1. Perform a review to establish how many audit and surveillance generated observations have been issued to date. Establish which of those have				
	11 QAE/Lead Auditor/Date <i>Edward Hervey</i> 5-23-90		12 Division Manager/Date N/A		13 Project Quality Mgr./Date <i>Catherine Hampton</i> 5-29-90
	14 Remedial/Investigative Action(s)				
	15 Effective Date _____				
Completed by Org. QA Org.	16 Cause of the Condition & Corrective Action to Prevent Recurrence				
	17 Effective Date _____				
	18 Signature/Date				
Comp. by Org. QA Org.	19 Response Accepted		QAE/Lead Auditor/Date	Division Manager/Date	Project Quality Mgr./Date
	20 Corrective Action Verif. Satisfactory		QAE/Lead Auditor/Date	Division Manager/Date	Project Quality Mgr./Date
	21 Remarks				
Comp. by Org. QA Org.	22 QA CLOSURE		QAE/Lead Auditor/Date	Division Manager/Date	PQM/Date

SDR No. 541

Page 2 of 2

8 Requirement ( continued )

corrective action is made."

Para. 2.0 of the same QAPP Section states in part: "All deficiencies, nonconformances, and potential quality problems identified during surveillances are documented and monitored until verification of effective corrective action is made.

(Refer to audit checklist item no. 18-4-1)

9 Deficiency ( continued )

to be monitored until verification of effective corrective action was made.

Note: During the course of the audit, LLNL revised the procedures to incorporate the above listed requirements (Refer to Change Notice No. 18.0-1-1 issued to QP 18.0 "Audits", Rev. 0 and Change Notice No. 18.1-1-2 issued to QP 18.1 "Surveillances" Rev. 1). However, this SDR is being issued to accomplish remedial and investigative action as there have been over 75 observations issued to date. LLNL has not documented the monitoring or follow-up of all of these observations.

10 Recommended Actions ( continued )

had documented follow-up (i.e., have been recorded onto surveillance or audit checklists).

2. Perform follow-up to those observations which have not yet had documented follow-up (i.e., perform a documented surveillance).
3. Train appropriate personnel to revised procedural requirements.

# YMPO STANDARD DEFICIENCY REPORT

N-QA-038  
4/89

Completed by Originating QA Organization	1 Date May 18, 1990		2 Severity Level <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2 <input type="checkbox"/> 3		Page 1 of 2
	3 Discovered During YMP Audit 90-02		3a Identified By M. Diaz		4 SDR No. 544 Rev. 0
	5 Organization LLNL		6 Person(s) Contacted D. Short, E. DeLeon		7 Response Due Date is 20 Working Days from Date of Transmittal
	8 Requirement (Audit Checklist Reference, if Applicable) The LLNL QAPP, Section 033-YMP-R 16, Rev. 0, para. 1.1 states in part: "Upon discovering or receiving notification that a significant condition adverse to quality or an unusual occurrence exists, the LLNL-YMP assures that immediate				
Completed by Organization in Block 5	9 Deficiency Contrary to the above, A) LLNL implementing procedure 033-YMP-QP 15.0 "Nonconforming Items, Procedural Nonconformances and Conditions Adverse to Quality", Rev. 0, does				
	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective 1. Revise LLNL Procedure QP 15.0 to include time limits for the evaluation of an NCR from its date of discovery.				
	11 QAE/Lead Auditor/Date <i>Gerard Heaney 5-30-90</i>		12 Division Manager/Date <i>N/A</i>		13 Project Quality Mgr./Date <i>Colin... 5-31-90</i>
Completed by Org. QA Org.	14 Remedial/Investigative Action(s)				
	15 Effective Date _____				
	16 Cause of the Condition & Corrective Action to Prevent Recurrence				
17 Effective Date _____					
18 Signature/Date					
19 Response Accepted		QAE/Lead Auditor/Date	Division Manager/Date	Project Quality Mgr./Date	
20 Corrective Action Verif. Satisfactory		QAE/Lead Auditor/Date	Division Manager/Date	Project Quality Mgr./Date	
21 Remarks					
22 QA CLOSURE		QAE/Lead Auditor/Date	Division Manager/Date	PQM/Date	



SDR No. 544

Page 2 of 2

8 Requirement ( continued )

actions are taken to remedy the specific conditions."

In addition, the LLNL QAPP, Section 033-YMP-R 5, Rev. 0, states in part:  
"....These documents (instructions, procedures) include or reference appropriate quantitative or qualitative acceptance criteria for determining that prescribed activities are satisfactorily accomplished."

(Refer to audit checklist item no. 16-1)

9 Deficiency ( continued )

not contain qualitative or quantitative criteria establishing the time limits from the origination of a nonconformance report to the evaluation of the nonconformance report for determination if the identified deficiency is minor or serious, or a significant condition adverse to quality exists (therefore requiring the issuance of a Corrective Action Report per QP 16.0).

B) LLNL implementing procedure 033-YMP-QP 16.0 "Corrective Action", Rev. 1, does not contain qualitative or quantitative criteria establishing the time limits for the QA Manager to complete Part 1 of the Corrective Action Report from initiation to distribution.

10 Recommended Actions ( continued )

2. Revise LLNL Procedure QP 16.0 to include time limits for the QA Manager to complete Part 1 of the CAR from discovery to distribution.
3. Train appropriate personnel to revised procedures.

Leslie J. Jardine


-2-

JUN 25 1990

cc w/encl:

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J. E. Clark, SAIC, Las Vegas, NV, 517/T-12  
S. L. Crawford, SAIC, Las Vegas, NV, 517/T-06   
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