

Department of Energy
OCRWM
Office of Quality Assurance
Quality Assurance Surveillance Report

- 1.0 Surveillance Number
OCRWM-HQ-SR-91-017
- 2.0 Dates of Surveillance
September 24-26, 1991
- 3.0 Organization and Location
M&O - TESS
Fairfax, Virginia
- 4.0 Surveillance Team Members
W. R. Marchand, Team Leader (WESTON)
L. R. Wade, Team Member (WESTON)
- 5.0 Personnel Contacted
Frank Nash, Audit Manager
George Carruth, System Integration Manager
Stuart Willis, Systems Manager
Claude Walters, Systems Engineer
James Cassidy, Systems Engineer
Eugene Chulick, Training Manager
- 6.0 Scope
Determine if Systems Integration work, assigned to the M&O/TESS by the Office of Systems and Compliance, is being performed in accordance with the OCRWM Quality Assurance Program using OCRWM Quality Assurance Administrative Procedures.
- 7.0 Requirements
- 7.1 OCRWM Quality Assurance Program Description Document DOE/RW 0215 Rev. 3.
- 7.2 OCRWM Quality Assurance Controls Document DOE/RW 0289 Rev. 1.
- 7.3 OCRWM Quality Assurance Administrative Procedures DOE/RW 0197.

8.0 Results

8.1 Executive Summary

The surveillance was performed to determine if the Systems Integration work assigned to the M&O/TESS by the Office of Systems and Compliance was being conducted by appropriately trained personnel using the OCRWM Quality Assurance Program. The surveillance was conducted using a checklist which identified requirements contained in OCRWM Quality Assurance Administrative Procedures QAAP 2.1, 2.2, 3.1, 3.5, 3.6, 3.7, and 17.1.

Through interviews with personnel and review of documentation it was determined that sufficient objective evidence was available to satisfy Indoctrination and Training Requirements and verification of personnel qualifications.

A review of the Preliminary Draft MRS Program Element System Specification determined it was prepared without an approved Management Plan as required by QAAP 3.5. A Draft Management Plan dated September 24, 1991 had been developed but was not approved by the Office of Systems and Compliance. This resulted in the issuance of Corrective Action Request, (CAR) HQ-91-044.

8.2 Discussion

8.2.1 A Pre-Conference meeting was conducted on September 24, 1991 in the Conference Room of the M&O/TESS offices in Fairfax, Virginia, to discuss the scope of the surveillance and identify personnel interfaces.

8.2.2 The surveillance was conducted using a checklist containing requirements from applicable OCRWM QAAPs with emphasis on Indoctrination and Training, verification of personnel qualifications, and preparation of technical documents.

8.2.3 Documentation reviewed by the surveillance team included records of position description, verification of education and experience, Indoctrination and Training Matrices, and OCRWM QA Orientation for M&O/TESS personnel supporting the System Integration Department. The team reviewed the Preliminary Draft Monitored Retrievable Storage (MRS) Program Element System Specification and the Preliminary Draft Management Plan for the preparation of system specifications that were being developed concurrently. There

was no objective evidence that the Preliminary Draft Management Plan had been submitted to the Office of Systems and Compliance for approval as required by QAAP 3.5.

9.0 Corrective Action Request

CAR number HQ-91-044 (copy attached) was issued as a result of this surveillance.

Prepared by: W. P. Marchand 11/26/91
Surveillance Team Leader Date

Approved by: R. W. Clark 12/3/91
Director, OQA Date

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

CAR NO. HO-CAP-91-022
 DATE 10/09/91
 SHEET 1 OF 2
 CA
 WBS NO: _____

CORRECTIVE ACTION REQUEST

Controlling Document QAAP 3.5 Preparation of Technical Documents		Related Report No. BQ-SR-91-017	
Responsible Organization Office of Systems and Compliance		Discussed With _____	
Response Due <u>10/21/91</u>	Responsibility for Corrective Action TESS	Stop Work Order: Y or N N	
Requirement: QAAP 3.5 Preparation of Technical Documents Para. 5.1 For each technical document subject to this QAAP, a Technical Document Management Plan shall be prepared detailing an approach specific to that document. Para. 6.1.2 The final Technical Document Management Plan containing the information outlined in Attachment I shall be approved by the cognizant Division Director.			
Adverse Condition Work has been initiated on preparation of a Preliminary Draft Monitored Retrievable Storage (MRS) Program Element System Specification, without an approved Technical Document Management Plan as required by QAAP 3.5			
Recommended Action(s) 1. Obtain Office of Systems and Compliance (RW-30) approval of and issue Technical Document Management Plan that contains the appropriate Quality Assurance Controls. (See Continuation Sheet).			
Initiator <u>W. S. Marchese</u>	Date <u>10/1/91</u>	Severity Level: 1 <input type="checkbox"/> 2 <input checked="" type="checkbox"/> 3 <input type="checkbox"/>	Approved by <u>OOA R.W. [Signature]</u>
Verification of Corrective Action: 			
Corrective Action Completed and Accepted. OAR _____ Date _____		Closure Approved By: OOA _____	

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

CAR NO HO-CAR-91-224
DATE 10/09/91
SHEET 2 OF 2

CORRECTIVE ACTION REQUEST
(continuation sheet)

Recommended Action(s) (continued)

2. Perform documented assessment of impact of initiation of work without Management Plan.
3. Complete document in accordance with approved Management Plan and associated QA controls.