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WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-015  
12/87

Title

WMPO ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 1 of 23

1.0 PURPOSE AND SCOPE

This procedure describes the organization and responsibilities of the Waste Management Project Office (WMPO), Science Applications International Corporation/Technical and Management Support Services (SAIC/T&MSS), and U.S. Department of Energy/Nevada Operations Office (DOE/NV) matrix support personnel (hereafter referred to as WMPO staff personnel) participating in the Nevada Nuclear Waste Storage Investigations (NNWSI) Project.

2.0 APPLICABILITY

The organization and responsibilities outlined in this procedure apply to WMPO staff personnel who perform quality related activities which support the NNWSI Project.

3.0 DEFINITIONS

WASTE MANAGEMENT PROJECT OFFICE (WMPO)

The organization to which the DOE/NV has assigned the responsibility of administering and coordinating the activities of various Participating Organizations and Nevada Test Site (NTS) Support Contractors associated with the NNWSI Project.

4.0 RESPONSIBILITIES

4.1 DOE OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT (OCRWM)

The U.S. Department of Energy Headquarters (DOE/HQ), OCRWM, provides programmatic and policy guidance and Quality Assurance (QA) overview through the Office of Geologic Repositories (OGR) to ensure that adequate NNWSI Project QA programs are established, implemented, and maintained.

4.2 DOE OFFICE OF GEOLOGIC REPOSITORIES (OGR)

The DOE/HQ, OGR, provides QA guidance and overview to the NNWSI Project by (1) review and approval of the NNWSI Project Quality Assurance Plan (QAP) and the WMPO QAPP; (2) specifying applicable requirements which are contained in the OGR QAP, OGR/B-3; and (3) performance of QA audits of the WMPO.

APPROVED BY

Project Manager, T&MSS

*Michael Logggett*

Date *5/16/88*

WMPO Project Quality Manager

*James Blaylock*

Date *5/23/88*

WMPO Project Manager

*William J. ...*

Date *5/18/88*

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WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016  
7/87

Title

WMPO ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 2 of 23

#### 4.3 DOE/NV OPERATIONS OFFICE MANAGER

The DOE/NV Operations Office Manager has the ultimate responsibility and accountability for the NNWSI Project in the Nevada Operations Office. He/she has established the WMPO for the management of the NNWSI Project.

#### 4.4 WASTE MANAGEMENT PROJECT OFFICE (WMPO)

The WMPO has sole responsibility and authority for authorization of work, and management and technical direction of the activities of the Participating Organizations and NTS Support Contractors through the issuance of technical and programmatic guidance, technical integration of the NNWSI Project, NNWSI Project planning and documentation, and QA programmatic guidance. In addition, the WMPO is responsible for conducting the technical activities described in this section. An organizational chart depicting the WMPO organization is provided in Figure 1, WMPO Organizational Chart.

##### 4.4.1 WMPO Project Manager

The WMPO Project Manager reports directly to the DOE/NV Manager. He/she has authority over all personnel assigned to the NNWSI Project and is responsible for the performance of the following NNWSI Project management activities:

- o Planning and directing activities.
- o Establishing goals and objectives and assessing progress toward the attainment of those goals.
- o Administering the procurement of items and services.
- o Preparing and issuing technical and programmatic guidance.
- o Organizing and conducting peer reviews.
- o Complying with laws, regulations, and DOE orders and policies.
- o Approving and implementing the NNWSI Project QA Plan and quality-related NNWSI Project Administrative Procedures (APQ's).



## QUALITY MANAGEMENT PROCEDURE

Title

WMPD ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 3 of 23

- o Approving and implementing the WMPD Quality Assurance Program Plan (QAPP) and its implementing procedures for the conduct of WMPD quality related activities.
- o Implementing corrective actions for deficiencies relating to the quality of WMPD activities and items.
- o Reviewing, accepting and approving NNWSI Project quality related documents as defined in WMPD QMP-06-03, Document Review/Acceptance/Approval.
- o Other appropriate administrative tasks.

#### 4.4.2 WMPD Deputy Project Manager

The WMPD Deputy Project Manager reports directly to the WMPD Project Manager and is responsible for assisting the WMPD Project Manager in the implementation of the WMPD QAPP and its implementing procedures through coordination of the activities of the WMPD Branch Chiefs in the performance of their respective functions. When the WMPD Project Manager is not available, the WMPD Deputy Project Manager is authorized to act in his/her behalf.

#### 4.4.3 WMPD Branch Chiefs

The WMPD technical responsibilities and activities are accomplished by three branches. Each branch is directed by a WMPD Branch Chief who reports directly to the WMPD Project Manager. WMPD Branch Chiefs have the following responsibilities within his/her branch:

- o Organizing and conducting technical activities assigned by the WMPD Project Manager or Office of Geologic Repositories (OGR).
- o Organizing and conducting peer reviews.
- o Implementing quality related NNWSI Project Administrative procedures.
- o Implementing the WMPD QAPP and its implementing procedures for the conduct of WMPD quality related activities.
- o Reviewing programmatic and technical procedures.



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016  
7/87

Title

WMPO ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 4 of 23

- o Reviewing and approving Quality Assurance Level Assignment Sheets (QALASs).
- o Complying with State of Nevada requests for technical and environmental data available from NNWSI Project Participants.
- o Implementing assigned portions of the DGR and NNWSI Project Management Plans.
- o Reviewing and approving NNWSI Project quality related documents as defined in WMPO QMP-06-03, Document Review/Acceptance/Approval.
- o Appropriate administrative tasks.

4.4.4 WMPO Branch activities are performed by branch staff personnel who report directly to a WMPO Branch Chief. The three branches and their responsibilities are as follows:

4.4.4.1 WMPO Regulatory and Site Evaluation Branch

The WMPO Regulatory and Site Evaluation Branch is responsible for the following NNWSI Project activities:

- o Site characterization in field and laboratory activities (including geology, hydrology, geochemistry, geophysics, drilling, seismology, radiation safety, climate, meteorology, in situ testing in the Exploratory Shaft Facility (ESF) and sample management facility).
- o Performance assessment (including code development, analysis, and radionuclide release calculations).
- o Nuclear Regulatory Commission (NRC) interactions (including site visits, work shops, Appendix 7 meetings, and review of regulations).
- o Preparation of NNWSI Project documents required by the Nuclear Waste Policy Act and the NRC (including preparation of the Site Characterization Plan (SCP), SCP updates, study plans, technical input to the Environmental Impact Statement (EIS) and license application, NNWSI Project position papers, and prelicensing topical reports for use in the license application to NRC).



## QUALITY MANAGEMENT PROCEDURE

Title

WMPO ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 5 of 23

- o Evaluating and recommending approval of site investigation documents and reports that contain data and interpretations from site characterization.

#### 4.4.4.2 WMPO Technology Development and Engineering Branch

The WMPO Technology Development and Engineering Branch is responsible for:

- o System and subsystem design requirements documents.
- o Systems description, analysis, and integration.
- o Waste package design and development.
- o Design, construction, and operation of major test facilities.
- o Operational and preclosure safety/risk assessment.
- o Repository engineering including conceptual design, rock mechanics, and borehole sealing.
- o Instrument and equipment development.
- o Exploratory shaft design, construction, and operation.
- o Engineering and technical support for NNWSI Project plans, reports, and presentations.
- o Technical baseline element definition and development.

#### 4.4.4.3 WMPO Systems and Project Control Branch

The WMPO Systems and Project Control Branch is responsible for:

- o Administration and management support to integrate and control the NNWSI Project including preparation of networks, monitoring milestones, and overseeing issuance of NNWSI Project documentation.
- o Records management/information management system.
- o Quality Assurance Records administration.



## QUALITY MANAGEMENT PROCEDURE

Title

WMPO ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 6 of 23

- o Configuration management.
- o Transportation studies.
- o Socioeconomics studies.
- o Institutional liaison.
- o Project training.
- o Environmental monitoring, analysis and support including meteorological, air quality, and radiological.
- o Land aquisition.
- o Coordination of NTS support of NNWSI Project activities.

#### 4.4.5 WMPO Project Quality Manager (PQM)

The WMPO PQM reports directly to the WMPO Project Manager and is at the same or higher organizational level as the highest line manager responsible for activities affecting quality. He/she has the appropriate organization position, responsibilities, and authority to exercise proper control over the WMPO QA Program and to identify quality related deficiencies requiring corrective action. The WMPO PQM is sufficiently independent from cost and schedule considerations. He/she is responsible for the performance of the following NNWSI Project QA activities:

- o Directing and managing the overall NNWSI Project QA Program.
- o Approving the NNWSI Project QA Plan, WMPO QAPP, other NNWSI Project Participants' QAPPs and changes thereto, and other documents as required by WMPO QMP-06-03.
- o Approving and implementing quality related NNWSI Project Administrative Procedures.
- o Verifying the adequacy and effectiveness of QA plans, requirements, and QA program implementation by the WMPO and other NNWSI Project Participants by conducting audits and surveillances.
- o Coordinating WMPO QA activities.



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016  
7/87

Title

WMPO ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 7 of 23

- o Approving Standard Deficiency Reports (SDRs) which identify quality related deficiencies.

The WMPO PQM is supported by the Project QA Department which is referred to as the WMPO QA Organization. The functions and responsibilities of this department are described in Section 4.3.3.7.

#### 4.4.6 DOE/NV Support

The WMPO may request support from other DOE/NV offices and divisions in the performance of NNWSI Project activities. These offices and divisions shall perform quality related activities in accordance with the requirements of quality related NNWSI Project Administrative Procedures and the WMPO QAPP. The responsibilities of these offices and divisions are described below.

##### 4.4.6.1 Nevada Test Site Office (NTSO)

The NTSO provides matrix support personnel functionally responsible to the WMPO for field direction and coordination of the NTS Support Contractor operations, including architect-engineering, drilling, mining, construction, and logistical support for work performed at the NTS. The NTSO acts on requests for NTS Support Contractor services submitted by Participating Organizations through WMPO and provides assistance to other NNWSI Project Participants in areas of specialized expertise.

##### 4.4.6.2 Health Physics and Environmental Division (HP&ED)

The HP&ED provides matrix support personnel to WMPO, as requested, and is responsible for:

- o Reviewing procedures, facility designs, and operation plans applicable to radiological monitoring of the environment.
- o Radiological health of NTS workers.
- o Complying with environmental laws.
- o Radiological operations of the DOE/NV, its contractors, and the national laboratories at the NTS. The HP&ED acts on requests for support submitted by Participating Organizations through WMPO and provides document reviews, advice, and assistance to WMPO.



## QUALITY MANAGEMENT PROCEDURE

Title

WMPO ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 8 of 23

#### 4.4.6.3 Safety and Health Division (S&HD)

The S&HD provides matrix support personnel to WMPO, as requested, and is responsible for:

- o Reviewing procedures, facility designs, and operation plans applicable to the occupational health and industrial and fire safety of site workers and facilities.
- o Acting on requests for support submitted by Participating Organizations through WMPO and providing document reviews, advice, and assistance to the WMPO.

#### 4.4.6.4 Contracts and Property Division (CPD)

The CPD provides matrix support personnel to the WMPO, as requested, and is responsible for:

- o Preparing and negotiating contracts and other agreements with the national laboratories and other federal agencies (except the NRC for which DOE/HQ is responsible) on behalf of the DOE/NV in support of the NNWSI Project.
- o Acting on requests for support submitted by WMPO and providing procurement package reviews, advice, and assistance to WMPO.

#### 4.5 SAIC/T&MSS ORGANIZATION

The SAIC/T&MSS Organization is the integrating contractor for the WMPO and provides broad technical, operational, and managerial support for NNWSI Project activities. References to the WMPO staff personnel include all SAIC/T&MSS personnel. SAIC/T&MSS efforts involve both the direct provision of technical, scientific, and institutional expertise and the management and integration of support provided by all NNWSI Project Participants regarding the planning, design, field investigations, laboratory work, construction, and regulatory licensing and institutional activities related to the NNWSI Project. The SAIC/T&MSS Organization is comprised of six major operating departments and a Project Institutional Relations Office, as described below. An organizational chart depicting the SAIC/T&MSS organization is provided in Figure 2, SAIC/T&MSS Organizational Chart.





## QUALITY MANAGEMENT PROCEDURE

Title

WMPD ORGANIZATION

No.

QMP-01-01

Rev. 1

Effective Date 5/27/88

Page

9

of

23

#### 4.5.1 Project Manager, T&MSS

The Project Manager, T&MSS reports directly to the WMPD Project Manager. He/she has authority over all SAIC/T&MSS personnel assigned to the NNWSI Project and is responsible for the performance of the following SAIC/T&MSS activities in support of the WMPD:

- o Planning and directing activities.
- o Complying with the requirements of work assignments performed by SAIC/T&MSS for the WMPD.
- o Meeting staffing, cost and schedule, and deliverable requirements .
- o Approving and implementing the WMPD QAPP and its implementing procedures for assigned quality related activities and items.
- o Implementing quality related NNWSI Project Administrative Procedures.
- o Implementing corrective actions for deficiencies relating to assigned quality related activities and items.

#### 4.5.2 Deputy Manager

The Deputy Manager reports directly to the Project Manager, T&MSS and is responsible for assisting the Project Manager, T&MSS in the implementation of the WMPD QAPP and its implementing procedures through coordination of the activities of the six Department Managers in the performance of their respective functions. When the Project Manager, T&MSS is not available, the Deputy Project Manager is authorized to act in his/her behalf.

#### 4.5.3 Department Managers

4.5.3.1 Department managers report directly to the Project Manager, T&MSS except for the Project Quality Assurance Department Manager who reports administratively to the Project Manager, T&MSS and functionally to the WMPD PQM to ensure independence. Each department manager is responsible for the following in his/her respective department:

- o Planning and directing activities.



## QUALITY MANAGEMENT PROCEDURE

Title

WMPO ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 10 of 23

- o Developing procedures for the performance of quality related activities.
- o Implementing quality related NNWSI Project Administrative procedures.
- o Implementing the WMPO QAPP and its implementing procedures.
- o Reviewing programmatic procedures and reviewing and approving technical procedures applicable to his/her department activities.
- o Appropriate administrative tasks.

4.5.3.2 Within each department are various divisions which carry out the responsibilities of each respective department. Each division is assigned a manager who reports directly to a department manager. A division may be further composed of branches. Each branch is assigned a manager who reports directly to a division manager. If it is appropriate, a branch may be composed of two or more sections which are assigned a section manager or a lead person who reports directly to a branch manager. The section manager is the lowest level of management within SAIC/T&MSS.

The six operating departments and the Project Institutional Relations Office primary responsibilities are described as follows:

#### 4.5.3.3 Project Management Department

The Project Management Department provides:

- o Overall management and integration for NNWSI Project Management and NNWSI Project Control Work Breakdown Structure (WBS) elements, management of WMPO and NNWSI Project plans and procedures, training of staff in regard to WMPO and NNWSI Project procedures and technical subject matter, and timely responses to WMPO's requests (e.g., briefings to outside organizations and DOE Headquarters).
- o Management analysis and evaluation, including performance evaluation/reporting and measurement.
- o Information management (including system operations, information integration, information systems development, and technical data management).



## QUALITY MANAGEMENT PROCEDURE

Title

WMPO ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 11 of 23

- o Project configuration management support.

The responsibilities of this department are performed by the following divisions:

- A. The Management Integration Division is responsible for the following:
  - o Integrating the NNWSI Project management function of the NNWSI Project.
  - o Coordinating, developing, and maintaining NNWSI Project plans/guidance.
  - o Coordinating and developing NNWSI Project procedures.
  - o Coordinating and developing NNWSI Project and WMPO training requirements.
  - o Administering NNWSI Project and WMPO training.
  - o Producing special presentation materials.
- B. The Management Analysis and Evaluation Division is responsible for:
  - o Providing support to the WMPO for analyses on the NNWSI Project.
  - o Preparing NNWSI Project cost performance and major system acquisition (MSA) reports in support of WMPO directed activities.
  - o Preparing financial analysis in support of WMPO directed activities.
  - o Developing engineering and construction cost estimates for the ESF and repository as required by WMPO.
  - o Participating in NNWSI Project budget formulation and coordination activities in support of WMPO.
- C. The Information Management Division is responsible for:
  - o Integrating and managing the NNWSI Project records.

**QUALITY MANAGEMENT PROCEDURE**

Title

WMPO ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 12 of 23

- o Coordinating training for NNWSI Project records coordinators and NNWSI Project staff.
- o Managing the NNWSI Project controlled documents.
- o Supporting WMPO in planning, designing, and implementing activities concerning the NNWSI Project Records Management Program.

**D. The Configuration Management Division is responsible for:**

- o Developing and assisting in the implementation of a NNWSI Project baseline consisting of management, regulatory, and technical elements.
- o Developing and assisting in the implementation of a NNWSI Project Configuration Management Plan.

**4.5.3.4 Project Operations Department****The Project Operations Department provides:**

- o Engineering documentation and design reviews specifically related to waste package, repository, and ESF designs.
- o Geotechnical services, including operation of the NNWSI Project Sample Management Facility (SMF).
- o Regional studies, including transportation, land access, and socioeconomics.
- o Environmental programs, including environmental and radiological field programs.

**The responsibilities of this department are performed by the following divisions:****A. The Engineering Division is responsible for the following:**

- o Supporting the WMPO on the ESF activities.



## QUALITY MANAGEMENT PROCEDURE

Title

WMPO ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 13 of 23

- o Performing and documenting engineering and systems studies, as assigned, including the ESF, waste package, and geologic repository elements of the Project.

B. The Environmental Division is responsible for the following:

- o Planning and executing field investigations, studies, tests, surveys, etc. in the environmental, radiological, and meteorological functional areas of the NNWSI Project.
- o Supporting the preparation of documentation and reports that establish compliance with National Environmental Policy Act and other applicable laws, regulations, and guidelines.

C. The Geotechnical Division is responsible for the following:

- o Operating the SMF.

D. The Regional Studies Division is responsible for:

- o Supporting the design, development, and execution of field investigations, studies, tests, survey, etc. in the transportation, social, and economic functional areas.
- o Data gathering, monitoring, documentation, and reporting.
- o Documentation and reporting of field activities, analyses, and results.
- o Land access/land withdrawal.
- o Access compliance.

#### 4.5.3.5 Project Technical Integration, Analysis, and Evaluation Department

The Project Technical Integration, Analysis, and Evaluation Department provides:

- o Technical integration across the NNWSI Project in systems, waste package, site, repository, regulatory and institutional, exploratory shaft facility, and test facilities.



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016  
7/87

Title

WMPO ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 14 of 23

- o Technical evaluation and analysis including coordination of the development of the SCP and study plans. The development of SCP workshops and meetings with the State of Nevada and NRC. Development of the NNWSI Project technical position papers, preclicensing, topical reports and issue resolution reports for interactions with the NRC and the development of the issue resolution strategy.

The responsibilities of this department are performed by the following divisions:

- A. The Technical Integration and Support Division is responsible for the following:
  - o Assisting WMPO in providing technical integration of all NNWSI Project Participants including providing programmatic guidance, monitoring and coordinating work performed by NNWSI Project Participants.
  - o Providing review and overview of technical studies, technical documentation, and other technical products developed for the NNWSI Project.
- B. The Technical Evaluation and Analysis Division is responsible for:
  - o Technical analysis and evaluation of products produced by the NNWSI Project for the OGR, the NRC, or the State of Nevada.

4.5.3.6 Project Regulatory Compliance Department

The Project Regulatory Compliance Department provides:

- o Nuclear regulatory compliance support, including regulatory interaction, planning and regulatory review.
- o Environmental regulatory compliance support, including planning and obtaining permits.



## QUALITY MANAGEMENT PROCEDURE

Title

WMPO ORGANIZATION

No. QMP-01-01 Rev. 1

Effective Date 5/27/88

Page 15 of 23

The responsibilities of this department are performed by the following divisions:

- A. The Nuclear Regulatory Compliance Division is responsible for the following:
  - o Supporting WMPO in interactions with the NRC.
  - o Providing Washington, D.C. liaison services in licensing matters.
  - o Analyzing and providing interpretations of NRC regulations and licensing guidance documents.
  - o Developing guidance in NRC interactions and licensing regulations for use in NRC related documents, plans, and interactions.
- B. The Environmental Regulatory Compliance Division is responsible for the following:
  - o Supporting WMPO in interactions with environmental regulatory and permitting agencies.
  - o Analyzing and providing interpretations of environmental and permitting regulations and requirements.
  - o Developing guidance in interactions with environmental and permitting agencies and their regulations and requirements for use in environmental documents, plans, permits and interactions with these organizations.

#### 4.5.3.7 Project Quality Assurance Department

The Project Quality Assurance Department is responsible for providing:

- o Quality Assurance overview.
- o Quality Assurance implementation support, including development of required plans and procedures.
- o Audits and surveillances of NNWSI Project activities.



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016  
7/87

Title

WMPO ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 16 of 23

Reporting directly to the Project QA Department Manager is the Deputy Project QA Department Manager who coordinates the activities of the following three divisions of the Project Quality Assurance Department in the performance of their respective tasks for implementation of the WMPO QA Program. When the Project QA Department Manager is not available, the Deputy Project QA Department Manager is authorized to act in his/her behalf. The Project QA Department Manager is sufficiently independent from cost and schedule considerations.

A. QA Implementation Division is responsible for:

- o Preparing and maintaining the NNWSI Project QAP, the WMPO QAPP, and QMPs which relate to specific activities of the division.
- o Reviewing NNWSI Project Participants' quality related documents as defined in WMPO QMP-06-03.
- o Coordinating/interfacing with the NRC through the OGR on matters relating to NNWSI Project QA requirements documents.
- o Developing QA training programs, as necessary.

B. QA Overview Division is Responsible for:

- o Providing broad technical expertise, QA support and overview to the NNWSI Project for the planning and execution of the NNWSI Project QAP and related implementing procedures.
- o Providing advice, counsel, and interpretations to the WMPO and other NNWSI Project Participants regarding requirements and the application of to technical disciplines.
- o Providing review, comments, and resolution of comments regarding NNWSI Project QA documents.
- o Conducting analyses, investigations, and making recommendations for the resolution of technical quality related problems.
- o Providing technical specialists to support the WMPO QA Audits and Surveillances Program.





## QUALITY MANAGEMENT PROCEDURE

Title

WMPO ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 17 of 23

- o Assisting in the development and implementation of training programs.
- o Participating as active members in various management and technical groups related to the NNWSI Project.

C. Audits & Surveillances Division is responsible for:

- o Planning, scheduling and conducting an effective QA audit and surveillance program for the WMPO.
- o Providing statusing and tracking of all WMPO identified quality related deficiencies.
- o Follow-up and closure of SDRs and observations (see QMP-18-02, Surveillances).

4.5.3.8 SAIC/T&MSS Support Services Department

The SAIC/T&MSS Support Services Department provides:

- o SAIC/T&MSS administrative support, including personnel services and support to and coordination with Sector contract administration.
- o Computer services, including software development and support, operations, and systems support.
- o Publication services, including technical editing, word processing, and graphics.

The responsibilities of this department are performed by the following divisions:

A. The SAIC/T&MSS Contract Management and Administration Division is responsible for:

- o Administrative management of the SAIC/T&MSS Contract including financial planning, contract coordination, accounts payable, purchasing, property control, shipping and receiving, and personnel administration.



## QUALITY MANAGEMENT PROCEDURE

Title

WMPO ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 18 of 23

- B. The contract Work Management Division is responsible for:
- o Contract work plans.
  - o Contract work tracking.
  - o Contract work reporting.
  - o Financial analysis.
  - o Financial reporting for SAIC/T&MSS contract measurement.
- C. The SAIC/T&MSS Performance Measurement Division is responsible for:
- o Coordinating, integrating, developing, and maintaining SAIC/T&MSS networks, cost account plans, baselines, etc.
  - o Providing cost performance reports as required to support SAIC/T&MSS contractual reporting requirements.
  - o Reviewing, analyzing, tracking, and reporting on SAIC/T&MSS activities as required to support the Project Manager, T&MSS.
- D. The Computer Services and Operations Division is responsible for:
- o Operating and maintaining the computer center and providing programming and other resources to the NNWSI Project.
  - o Providing NNWSI Project-wide user support in the area of data processing.
  - o Operating and maintaining all data processing equipment within WMPO and SAIC/T&MSS.
  - o Performing data processing, planning, and advising senior management.
  - o Specifying and purchasing all data processing equipment.
  - o Providing assistance and technical guidance to NNWSI Project Participants relative to data processing



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016  
7/87

Title

WMPD ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 19 of 23

- o Providing NNWSI Project-wide support of software development from initial analysis through the entire software life cycle.
- o Maintaining and supporting all software, both commercial and in-house, development which is used on the NNWSI Project.
- o Supporting adhoc data manipulation and reporting generation requirements on a daily basis.
- o Managing existing data bases used by the NNWSI Project.
- o Developing and implementing policy and procedures manuals relative to data processing.
- o Providing NNWSI Project-wide training on all applications including word processing.
- o Providing software training.

E. The Publications and Services Division is responsible for:

- o Resource Center
- o Reproduction
- o Publications Graphics
- o Word Processing
- o Technical Writing
- o Technical Editing
- o Style Guides
- o Report Assembly/Production
- o Abstracts/Presentations
- o Correspondence
- o Maintaining Slide Library
- o Maintaining 8x10 Photo File
- o Preparing graphics to support presentations for the WMPD and SAIC/T&MSS
- o Preparing presentation books
- o Maintaining Presentation File
- o Preparing Special Graphics
- o Large Document Production
- o Proofreading

4.5.3.9 Project Institutional Relations Office

The Project Institutional Relations Office provides support in DOE interactions with the State of Nevada and other affected public parties.



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016  
7/87

Title

WMPO ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 20 of 23

5.0 PROCEDURE

5.1 PERFORMANCE OF ACTIVITIES

WMPO personnel who perform or support the technical and QA activities described within this procedure shall conduct their respective function by implementing either a WMPO Branch Technical Procedure (BTP) or a WMPO Quality Management Procedure (QMP). Those WMPO activities which involve interface responsibilities with other NNWSI Project Participants shall be conducted in accordance with NNWSI Project Administrative Procedures (APs).

5.2 DELEGATION OF RESPONSIBILITIES

The responsibilities of the management personnel described within this procedure may be delegated to a designee if the delegation is documented.

5.3 RESOLUTION OF DISPUTES

Disputes concerning QA issues or requirements may be resolved through the chain of authority within each respective branch or department. If not satisfied with resolution of the dispute, WMPO staff personnel have the freedom to direct the dispute to the WMPO PQM. The WMPO PQM may direct the dispute to the WMPO Project Manager for resolution. If not satisfied with the decision, the WMPO PQM has the authority to have the DOE/NV Manager arbitrate. The DOE/NV Manager may ask for assistance from the DOE/NV Quality Assurance Director for resolution. If still not satisfied with the resolution of the dispute, the WMPO PQM has the responsibility to notify the Office of Geologic Repositories.

6.0 REFERENCES\*

NNWSI/88-9 (formerly NVO-196-17), NNWSI Project QA Plan.

WMPO/88-1 (formerly NVO-196-18), WMPO QA Program Plan.

QMP-06-03, Document Review/Acceptance/Approval.

QMP-17-01, Quality Assurance Records.

QMP-18-02, Surveillances.

\*Latest Revision



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016  
7/87

Title

WMPO ORGANIZATION

No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 21 of 23

7.0 FIGURES

Figure 1 - WMPO Organizational Chart.

Figure 2 - SAIC/T&MSS Organizational Chart.

8.0 QA RECORDS

Copies of this procedure, including revisions, and related Document Review Sheets (see QMP-06-03) shall be maintained as QA Records in accordance with WMPO QMP-17-01, Quality Assurance Records.



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016  
7/87

Title

WMPO ORGANIZATION

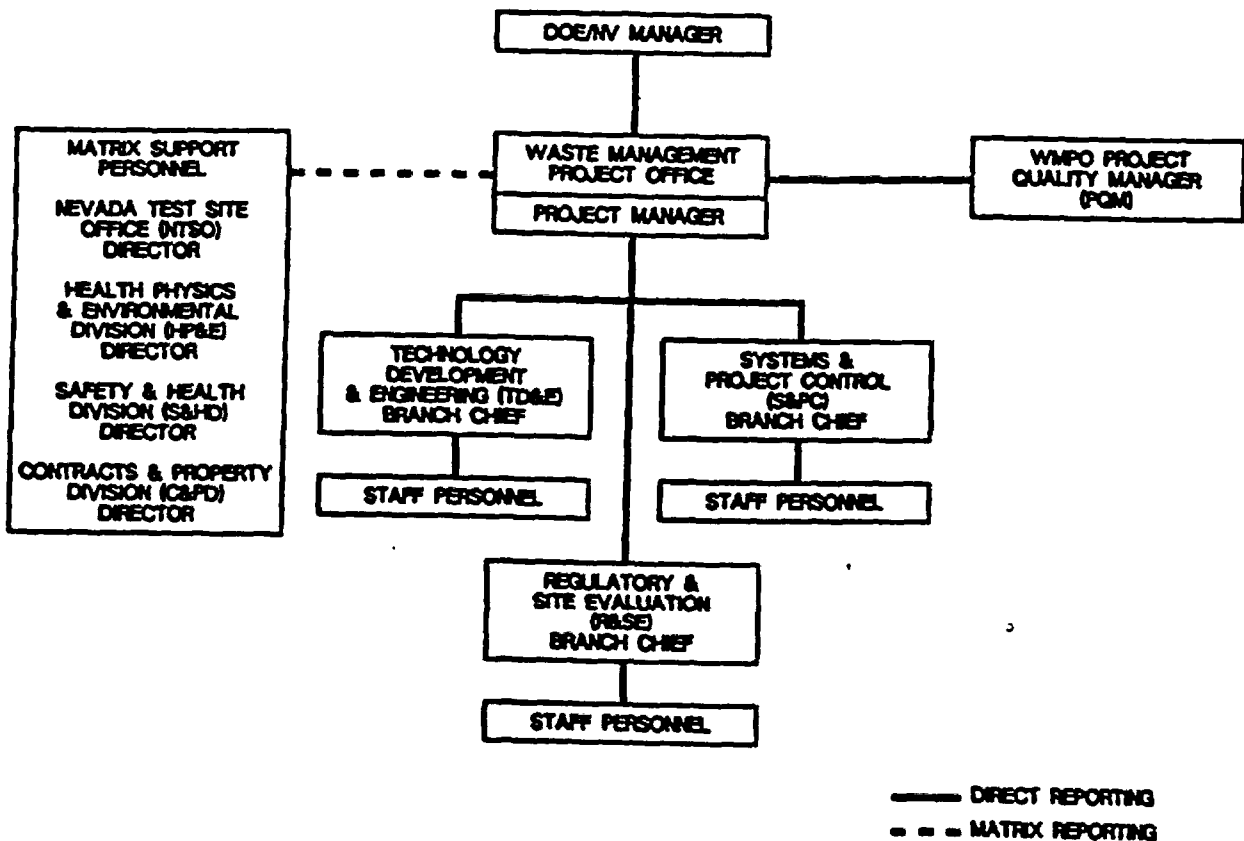
No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 22 of 23

WMPO ORGANIZATION



[QMP.Org:12/17/87]

Figure 1 - WMPO Organizational Chart



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016  
7/87

Title

WMPO ORGANIZATION

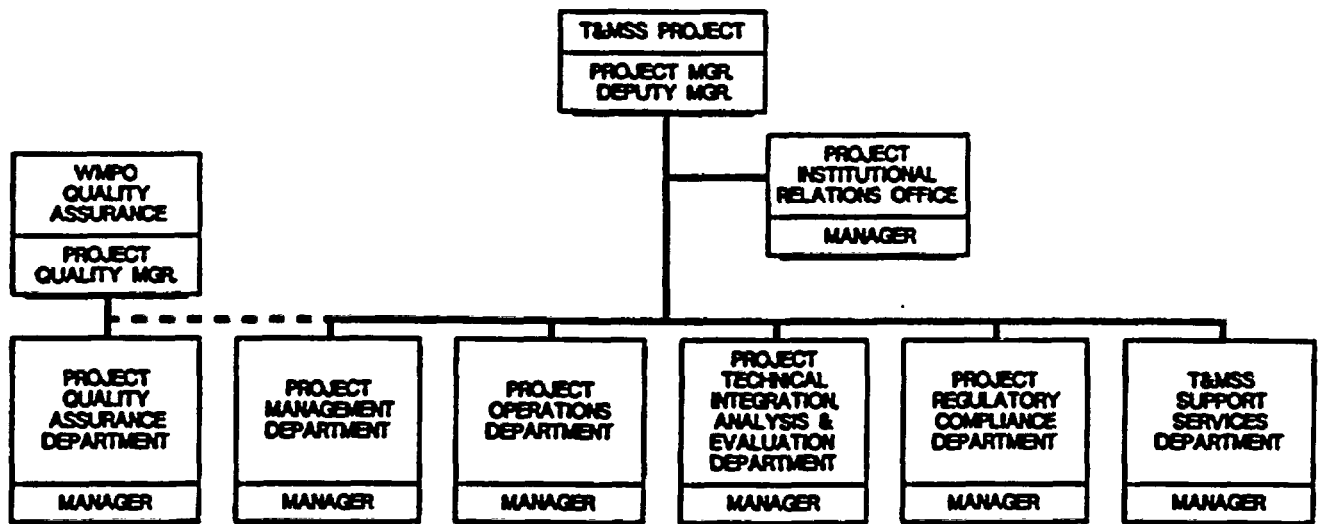
No. QMP-01-01

Rev. 1

Effective Date 5/27/88

Page 23 of 23

SAIC/T&MSS ORGANIZATION



- - - ADMINISTRATIVELY  
—— FUNCTIONALLY

Technical & Management Support Services  
MWSI PROJECT 12/9/87

Figure 2 - SAIC/T&MSS Organizational Chart



## QUALITY MANAGEMENT PROCEDURE

Title

PREPARATION AND CONTROL OF BRANCH  
TECHNICAL PROCEDURES

No. QMP-05-02 Rev. 0

Effective Date 5/27/88

Page 1 of 8

## 1.0 PURPOSE AND SCOPE

This procedure delineates the Waste Management Project Office (WMPO) methodology and responsibilities for controlling the preparation, review, approval, distribution, and revision of Branch Technical Procedures (BTPs).

## 2.0 APPLICABILITY

This procedure applies to WMPO staff personnel who prepare, review, approve, distribute, revise, or maintain BTPs that specify or describe how a Quality Assurance (QA) Level I or II activity is to be performed.

## 3.0 DEFINITIONS

## 3.1 BRANCH TECHNICAL PROCEDURE (BTP)

A BTP is an approved and controlled document that governs the conduct of a QA Level I or II technical (i.e., engineering, scientific, or research) activity (i.e., operation, task, function, service, or process).

## 3.2 TASK MANAGER (TM)

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 Principal Investigator (PI) or cost account manager depending on the respective task.

## 4.0 RESPONSIBILITIES

## 4.1 WMPO BRANCH CHIEFS

WMPO Branch Chiefs are responsible for ensuring that required BTPs are developed, reviewed, approved, implemented, revised, and maintained, as necessary, for activities under their purview. WMPO Branch Chiefs are also responsible for the review and approval of BTPs, including revisions, prepared for assigned activities under their purview. This review and approval shall be performed in accordance with QMP-06-03, Document Review/Acceptance/Approval.

APPROVED BY

Project Manager, T&amp;MSS

Date

5/16/88

WMPO Project Quality Manager

Date

5/23/88

WMPO Project Manager

Date

5/18/88



**QUALITY MANAGEMENT PROCEDURE**

Title

PREPARATION AND CONTROL OF BRANCH  
TECHNICAL PROCEDURESNo. QMP-05-02 Rev. 0  
Effective Date 5/27/88  
Page 2 of 8**4.2 WMPO PROJECT QUALITY MANAGER (PQM)**

The WMPO PQM is responsible for reviewing and approving BTPs, including revisions, in accordance with QMP-06-03.

**4.3 DEPARTMENT MANAGERS**

Department Managers are responsible for reviewing and approving BTPs, including revisions, that are prepared by TMs under their purview in accordance with QMP-06-03.

**4.4 TASK MANAGERS**

TMs are responsible for preparing required BTPs, including revisions, for their assigned activities or as directed by the cognizant WMPO Branch Chief.

**4.5 TECHNICAL DATA MANAGEMENT BRANCH MANAGER**

The Technical Data Management Branch Manager is responsible for the controlled distribution of BTPs, including revisions.

**4.6 PROJECT PROCEDURES BRANCH MANAGER**

The Project Procedures Branch Manager is responsible for assigning the unique identification number to each BTP and maintaining a log of assigned BTP identification numbers.

**5.0 PROCEDURE****5.1 BRANCH TECHNICAL PROCEDURES****5.1.1 Preparation**

BTPs for QA Level I or II activities shall be prepared by the responsible TM and shall be identified by appropriate title, identification number, revision indicator, and effective date.

**5.1.2 Page Format**

Page Number 1 (see Figure 1, BTPs Cover Page) of each BTP shall contain the following:

1. The Title of the Branch Technical Procedure.
2. The Page Heading as defined in Section 5.1.3. Page headings shall appear on all pages of the procedure.

**QUALITY MANAGEMENT PROCEDURE**

Title

PREPARATION AND CONTROL OF BRANCH  
TECHNICAL PROCEDURES

No. QMP-05-02

Rev. 0

Effective Date 5/27/88

Page 3 of 8

3. Approved By block which provides for the dated signatures of the designated individuals, as specified in Section 5.2, indicating WMPD approval of the procedure.

**5.1.3 Page Headings**

5.1.3.1 Each page (see Figure 1 and Figure 2, BTP Continuation Page) of a BTP shall have a page heading which includes the following information:

1. Branch Technical Procedure Identification Number (see Section 5.1.3.2).
2. Page \_\_\_ of \_\_\_ (e.g., Page 1 of 10, 2 of 10, etc.).
3. Revision No. (e.g., Revision 0, Revision 1, etc.).
4. Effective Date (i.e., the initial date the procedure shall be implemented).

5.1.3.2 Each page of a BTP shall be identified with the unique identification number assigned to the BTP by the Project Procedures Branch Manager. The log of BTP identification numbers shall be updated by the Project Procedures Branch Manager.

**5.1.4 Outline and Content**

BTPs shall be divided into the following sections in the order presented:

1. **Section 1.0, PURPOSE AND SCOPE**  
Briefly state why the procedure is being written (purpose) and what activities the procedure addresses (scope).
2. **Section 2.0, APPLICABILITY**  
Clearly define the applications and boundaries of the procedure and list exceptions.
3. **Section 3.0, DEFINITIONS**  
Provide definitions to clarify terminology used in the procedure. This section is optional. If there are no definitions to be provided, indicate "Not Applicable."
4. **Section 4.0, RESPONSIBILITIES**  
Identify the titles and major responsibilities of the individuals or organizations responsible for implementing the requirements of this procedure.
5. **Section 5.0, PROCEDURE**  
Identify the appropriate prerequisites that must be met prior to implementing the procedure, including the following:

**QUALITY MANAGEMENT PROCEDURE**

Title

PREPARATION AND CONTROL OF BRANCH  
TECHNICAL PROCEDURESNo. QMP-05-02 Rev. 0  
Effective Date 5/27/88  
Page 4 of 8

1. Equipment and material requirements.
2. Calibration requirements.
3. Training and qualifications of personnel.

Provide the step-by-step sequence of operations required to perform the activity in a manner that is correct, safe, and fully responsive to applicable requirements. Include quantitative or qualitative acceptance/rejection criteria, as appropriate.

**6. Section 6.0, REFERENCES**

List those documents referenced within the text of the procedure. Provide the revision indicator or date of the referenced documents or state the latest revision, as appropriate. This section is optional. If there are no references, indicate "Not Applicable."

**7. Section 7.0, FIGURES**

Forms and attachments which are utilized to implement the procedure shall be listed in this section as figures, and shall be sequentially numbered beginning with Figure 1, 2, etc. in the order the figures are described in the procedure. This section is optional. If there are no figures, indicate "Not Applicable."

**8. Section 8.0, QA RECORDS**

Identify the QA Records that will be generated or completed as a result of implementing the procedure.

**5.1.5 Section Headings**

Where necessary, the text of a section of a BTP shall be divided into subsections and sub-subsections, and shall be identified as follows:

**1.0 SECTION HEADING TITLE****1.1 SUBSECTION HEADING TITLE****1.2 SUBSECTION HEADING TITLE****1.2.1 Sub-subsection Heading Title (Optional)****1.2.2 Sub-subsection Heading Title (Optional)**

1.2.2.1 When there is more than one paragraph under a heading title, each paragraph shall be numbered sequentially and prefaced with the number of the appropriate heading title.

1.2.2.2 When there is only one paragraph number under a heading title, that paragraph shall not be identified with a unique paragraph number.



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016  
7/87

Title

PREPARATION AND CONTROL OF BRANCH  
TECHNICAL PROCEDURES

No. QMP-05-02 Rev. 0  
Effective Date 5/27/88  
Page 5 of 8

### 5.1.6 Exceptions

Exceptions in regard to BTP format, content, and form paper as delineated in Sections 5.1.2 through 5.1.5 shall be permitted on a case-by-case basis when authorized by the WMPO PQM.

### 5.2 REVIEW AND APPROVAL

BTPs, including revisions, shall be reviewed by the responsible Department Manager, WMPO Branch Chief, and WMPO PQM in accordance with QMP-06-03. BTPs, including revisions, shall be approved by the responsible WMPO Branch Chief, Department Manager, and WMPO PQM.

### 5.3 DISTRIBUTION

BTPs, including revisions, shall be distributed as controlled documents in accordance with QMP-06-02, Document Control, and Nevada Nuclear Waste Storage Investigations (NNWSI) Project Administrative Procedure (AP) 1.5Q, Issuance and Maintenance of Controlled Documents.

### 5.4 MAINTENANCE AND REVISIONS

BTPs shall be maintained and revised, as necessary, by the responsible TM based upon new or revised requirements, standards, codes, and regulations, as applicable. Revised BTPs shall be prepared, reviewed, approved, and distributed in the same manner as original documents.

### 6.0 REFERENCES\*

QMP-06-02, Document Control.

QMP-06-03, Document Review/Acceptance/Approval.

QMP-17-01, Quality Assurance Records.

NNWSI Project AP 1.5Q, Issuance and Maintenance of Controlled Documents.

\*Latest Revision

### 7.0 FIGURES

Figure 1 - Branch Technical Procedure Cover Page.

Figure 2 - Branch Technical Procedure Continuation Page(s).

**QUALITY MANAGEMENT PROCEDURE**

Title

PREPARATION AND CONTROL OF BRANCH  
TECHNICAL PROCEDURES

No. QMP-05-02

Rev. 0

Effective Date 5/27/88

Page 6 of 8

**8.0 QA RECORDS**

The responsible TM or WMPQ Branch Chief shall ensure the following QA Records resulting from implementation of this procedure are processed and maintained in accordance with QMP-17-01, Quality Assurance Records:

1. A copy of each approved BTP and BTP revision.
2. Completed Document Review Sheets (see QMP-06-03) for each approved BTP and BTP revision.



WASTE MANAGEMENT PROJECT OFFICE

**QUALITY MANAGEMENT PROCEDURE**

N-CA-016  
7/87

Title

PREPARATION AND CONTROL OF BRANCH  
TECHNICAL PROCEDURES

No. QMP-05-02

Rev. 0

Effective Date 5/27/88

Page 7 of 8

WASTE MANAGEMENT PROJECT OFFICE			
<b>BRANCH TECHNICAL PROCEDURE</b>			
Title		No.	Rev.
		Effective Date	
		Page	of
APPROVED BY			
Department Manager	Date	WMP Branch Chief	Date
		WMP Project Quality Manager	Date

Figure 1 - Branch Technical Procedure Cover Page



WASTE MANAGEMENT PROJECT OFFICE

**QUALITY MANAGEMENT PROCEDURE**

N-QA-016  
7/87

Title

PREPARATION AND CONTROL OF BRANCH  
TECHNICAL PROCEDURES

No. QMP-05-02

Rev. 0

Effective Date 5/27/88

Page 8 of 8



WASTE MANAGEMENT PROJECT OFFICE

**BRANCH TECHNICAL PROCEDURE**

N-QA-048  
2/88

Title

No.

Rev.

Effective Date

Page of

Figure 2 - Branch Technical Procedure Continuation Page(s)



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-015  
12/87

Title

PREPARATION AND CONTROL OF THE NNWSI  
PROJECT QAP AND THE WMPO QAPP

No. QMP-05-03

Rev. 0

Effective Date 5/27/88

Page 1 of 10

1.0 PURPOSE AND SCOPE

This procedure establishes the responsibilities and methods by which the Nevada Nuclear Waste Storage Investigations (NNWSI) Project Quality Assurance Plan (QAP) and the Waste Management Project Office (WMPO) Quality Assurance Program Plan (QAPP), WMPO/88-1 (formerly NVO-196-18), are prepared, reviewed, approved, distributed, revised, and maintained.

2.0 APPLICABILITY

This procedure applies to all WMPO staff personnel engaged in the preparation, review, approval, distribution, revision, and/or maintenance of the NNWSI Project QAP and the WMPO QAPP.

3.0 DEFINITIONS

3.1 NNWSI PROJECT QAP

The document that describes the planned, systematic QA requirements that are applicable to the NNWSI Project.

3.2 WMPO QAPP

The document, identified as WMPO/88-1 (formerly NVO-196-18), that describes the WMPO QA Program, the applicable QA requirements, and the instructions to implement and apply the QA requirements to activities.

4.0 RESPONSIBILITIES

4.1 U.S. DEPARTMENT OF ENERGY/HEADQUARTER'S (DOE/HQ) OFFICE OF GEOLOGIC REPOSITORIES (OGR)

The DOE/HQ OGR provides QA guidance and overview to the NNWSI Project by: (1) specifying applicable High-Level Radioactive Waste (HLRW) Repository QA Program requirements in the OGR QAP (OGR/B-3); and (2) review and approval of the NNWSI Project QAP and the WMPO QAPP.

APPROVED BY

Project Manager, T&MS

Date

*Michael T. M...  
5/18/88*

WMPO Project Quality Manager

Date

*James B...  
5/23/88*

WMPO Project Manager

Date

*...  
5/18/88*





## QUALITY MANAGEMENT PROCEDURE

Title

PREPARATION AND CONTROL OF THE NNWSI  
PROJECT QAP AND THE WMPO QAPPNo. QMP-05-03 Rev. 0  
Effective Date 5/27/88  
Page 2 of 10

#### 4.2 DOE NEVADA OPERATIONS OFFICE (NV) MANAGER

The DOE/NV Manager is responsible for endorsing the policy statements contained in the NNWSI Project QAP and the WMPO QAPP.

#### 4.3 WMPO PROJECT MANAGER

The WMPO Project Manager is responsible for review and approval of the NNWSI Project QAP and the WMPO QAPP and also for the endorsement of the policy statement contained in the WMPO QAPP.

#### 4.4 WMPO PROJECT QUALITY MANAGER (PQM)

The WMPO PQM is responsible for the preparation, review, approval, maintenance, and control of the NNWSI Project QAP and the WMPO QAPP. The WMPO PQM shall submit a copy of these documents to DOE/HQ for review and approval by the Associate Director, OGR.

#### 4.5 PROJECT MANAGER, T&MSS

The Project Manager, T&MSS, is responsible for the review and approval of the WMPO QAPP and also for the endorsement of the policy statement contained in the WMPO QAPP.

#### 4.6 WMPO BRANCH CHIEFS

The WMPO Branch Chiefs are responsible for providing a documented review of the WMPO QAPP sections within their respective areas of responsibility.

#### 4.7 DEPARTMENT MANAGERS

The Department Managers are responsible for providing a documented review of the WMPO QAPP sections within their respective areas of responsibility.

### 5.0 PROCEDURE

#### 5.1 SOURCE REQUIREMENTS FOR THE NNWSI PROJECT QAP AND WMPO QAPP

5.1.1 The NNWSI Project QAP shall be developed by the WMPO QA Organization to comply with the most current revision of the following QA documents:

1. 10 CFR 50, Appendix B, Quality Assurance Program Requirements for Nuclear Power Plants and Fuel Reprocessing Plants.



## QUALITY MANAGEMENT PROCEDURE

## Title

PREPARATION AND CONTROL OF THE NNWSI  
PROJECT QAP AND THE WMPO QAPP

No. QMP-05-03 Rev. 0  
Effective Date 5/27/88  
Page 3 of 10

2. 10 CFR 60, Disposal of High Level Radioactive Wastes in Geologic Repositories.
3. NRC Standard Review Plan.
4. OGR/B-3, OGR QAP for High Level Radioactive Waste Repositories.
5. DOE and DOE/NV Orders 5700.6, Quality Assurance, as amended with a variance in the areas of QA overview, program direction and document concurrence, and regulatory interactions (reference DOE Memorandum of Understanding on Quality Assurance, dated November 3, 1987).

5.1.2 The WMPO QAPP shall be developed and written by the WMPO QA Organization to comply with and describe the QA requirements delineated in the NNWSI Project QAP that apply to the scope of activities performed by the WMPO. If requirements from the NNWSI Project QAP do not apply to the scope of activities performed by the WMPO, these exceptions shall be noted in the appropriate section of the WMPO QAPP. Each section of the WMPO QAPP shall contain appropriate references to WMPO QMPs, BTPs, or quality related NNWSI Project APs.

## 5.2 NNWSI PROJECT QAP AND WMPO QAPP CONTENT

5.2.1 The NNWSI Project QAP and the WMPO QAPP shall consist of the sections described below.

### 5.2.1.1 Signature Page

The signature page shall indicate the title of the document, revision, the effective date, and the approval signatures required by WMPO QMP-06-03, Document Review/Acceptance/Approval.

### 5.2.1.2 Title Page

The title page shall indicate the title of the document and revision.

### 5.2.1.3 Preface

The preface shall indicate the revision of the document and provide a brief introduction as to why the document was revised.

**QUALITY MANAGEMENT PROCEDURE**

Title

PREPARATION AND CONTROL OF THE NNWSI  
PROJECT QAP AND THE WMPO QAPP

No. QMP-05-03 Rev. 0

Effective Date 5/27/88

Page 4 of 10

**5.2.1.4 Policy Statement**

The policy statement shall: (1) detail the commitment and support of the DOE/NV and WMPO management in regard to the implementation of the NNWSI Project QAP and the WMPO QAPP; (2) describe the responsibilities and authority of DOE/NV and WMPO management as related to the NNWSI Project QAP and the WMPO QAPP; and (3) define the applicability of the NNWSI Project QAP and the WMPO QAPP as to the scope of activities they apply to.

**5.2.1.5 Table of Contents**

The table of contents shall identify each QAP and QAPP section by number, title, revision number, date of issuance, and page number.

**5.2.1.6 Sections**

The NNWSI Project QAP and the WMPO QAPP shall contain 18 sections which are titled and numbered sequentially to correspond with the 18 criteria of 10 CFR 50, Appendix B. The sections in the QAP shall provide the QA requirements which apply to the NNWSI Project. The sections in the WMPO QAPP shall provide the QA requirements which apply to the activities that are within the responsibility of the WMPO.

**5.2.1.7 Appendices**

The appendices provide supplemental requirements to the basic 18 sections of the NNWSI Project QAP and the WMPO QAPP. An alternative to the appendices is to incorporate the supplemental requirements directly into the applicable sections of the document.

**5.3 NNWSI PROJECT QAP AND WMPO QAPP FORMAT**

5.3.1 The NNWSI Project QAP and WMPO QAPP shall be consistent in format. Each respective page of the documents shall be identified by the document title, section title, revision number, effective date, and page number.

5.3.2 The NNWSI Project QAP shall be typed on the NNWSI Project QAP format sheets (see Figure 1, NNWSI Project QAP Format Sheet).

5.3.3 The WMPO QAPP shall be typed on the WMPO QAPP format sheets (see Figure 2, WMPO QAPP Format Sheet).



## QUALITY MANAGEMENT PROCEDURE

Title

PREPARATION AND CONTROL OF THE NNWSI  
PROJECT QAP AND THE WMPO QAPP

No. QMP-05-03

Rev. 0

Effective Date 5/27/88

Page 5 of 10

**5.4 REVIEW, APPROVAL, AND ISSUANCE OF THE NNWSI PROJECT QAP AND WMPO QAPP**

5.4.1 The NNWSI Project QAP and the WMPO QAPP shall be reviewed and approved in accordance with QMP-06-03.

5.4.2 The NNWSI Project QAP and the WMPO QAPP may be issued prior to DOE/HQ review and approval contingent upon all required DOE/NV and WMPO approval signatures. If the DOE/HQ OGR review reveals the documents are in noncompliance with HLRW Repository QA Program requirements, any work performed that was affected by the noncompliance shall be processed as a WMPO nonconformance report (NCR) in accordance with QMP-15-01, Control of Nonconformances, or a Standard Deficiency Report (SDR) in accordance with QMP-16-03, Standard Deficiency Reporting System.

5.4.3. The NNWSI Project QAP and WMPO QAPP shall be distributed in accordance with QMP-06-02, Document Control and NNWSI Project AP 1.5Q, Issuance and Maintenance of Controlled Documents.

**5.5 MAINTENANCE AND REVISION OF THE NNWSI PROJECT QAP AND WMPO QAPP**

5.5.1 The NNWSI Project QAP shall be reviewed by the WMPO QA Organization for impact when the QA documents listed in Section 6.0 are revised. The NNWSI Project QAP shall be revised as necessary.

5.5.2 Revisions to the NNWSI Project QAP shall be reviewed by the WMPO QA Organization for impact on the WMPO QAPP and shall revise the WMPO QAPP as necessary.

5.5.3 Changes in the scope of work or responsibilities of the WMPO shall be evaluated by the WMPO QA Organization for impact on the WMPO QAPP which shall be revised as necessary.

5.5.4 Revisions to the NNWSI Project QAP or the WMPO QAPP may be requested by any WMPO staff personnel by completing a NNWSI Project Request for Revision (see Figure 3, NNWSI Project Request for Revision) and submitting the form to the WMPO PQM. Proposed revisions shall be evaluated by the WMPO QA Organization and either be approved or disapproved by the WMPO PQM. Approved requests shall be returned to the originator and incorporated into the applicable document. Disapproved requests shall be returned to the originator with a description of why the request was disapproved.



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016  
7/87

Title

PREPARATION AND CONTROL OF THE NNWSI  
PROJECT QAP AND THE WMPD QAPP

No. QMP-05-03

Rev. 0

Effective Date 5/27/88

Page 6 of 10

5.5.5 Revisions to the NNWSI Project QAP and WMPD QAPP shall be prepared, reviewed, approved, and distributed in the same manner as the original document. The portion of the section which was revised shall be identified by a vertical change bar in the right hand margin. The revision number to which the change applies shall also be noted.

5.5.6 Revisions to any portion of a section requires redistribution of that entire section, the signature page indicating approval of the revision, the title page indicating the revision of the document and the table of contents indicating the revision of the section.

6.0 REFERENCES\*

10 CFR 50, Appendix B, Quality Assurance Criteria for Nuclear Power Plants and Fuel Reprocessing Plants.

10 CFR 60, Disposal of High-Level Radioactive Wastes in Geologic Repositories.  
NRC Standard Review Plan.

DGR/B-3, DGR QA Plan for High-Level Radioactive Waste Repositories.

NNWSI Project QA Plan.

WMPD QAPP, WMPD/88-1 (formerly NVO-196-18).

QMP-06-02, Document Control.

QMP-06-03, Document Review/Acceptance/Approval.

QMP-15-01, Control of Nonconformances.

QMP-16-03, Standard Deficiency Reporting System.

QMP-17-01, Quality Assurance Records.

NNWSI Project AP 1.5Q, Issuance and Maintenance of Controlled Documents.

DOE and DOE/NV Order 5700.6, Quality Assurance and DOE Memorandum of Understanding on Quality Assurance, dated November 3, 1987.

\*Latest Revision



WASTE MANAGEMENT PROJECT OFFICE

**QUALITY MANAGEMENT PROCEDURE**

N-QA-016  
7/87

Title

PREPARATION AND CONTROL OF THE NNWSI  
PROJECT QAP AND THE WMPO QAPP

No. QMP-05-03

Rev. 0

Effective Date 5/27/88

Page 7 of 10

**7.0 FIGURES**

Figure 1 - NNWSI Project QAP Format Sheet.

Figure 2 - WMPO QAPP Format Sheet.

Figure 3 - NNWSI Project Request for Revision.

**8.0 QA RECORDS**

Copies of the NNWSI Project QAP; the WMPO QAPP, WMPO/88-1 (formerly NVO-196-18); revisions; and completed Document Review Sheets (see QMP-06-03) shall be maintained as QA Records in accordance with QMP-17-01, Quality Assurance Records.



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016  
7/87

Title

PREPARATION AND CONTROL OF THE NNWSI  
PROJECT QAP AND THE WMPO QAPP

No. QMP-05-03

Rev. 0

Effective Date 5/27/88

Page 8 of 10

REV. NO.	ISSUED	SECTION TITLE	PAGE NO.

Figure 1 is a format sheet for the NNWSI Project QAP. It consists of a large rectangular area with a header and a footer. The header contains the text 'NNWSI PROJECT QA PLAN' and 'N-QA-040 1/87'. The footer contains a table with four columns: 'REV. NO.', 'ISSUED', 'SECTION TITLE', and 'PAGE NO.'. The table is currently empty.

Figure 1 - NNWSI Project QAP Format Sheet



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016  
7/87

Title

PREPARATION AND CONTROL OF THE NNWSI  
PROJECT QAP AND THE WMPO QAPP

No. QMP-05-03

Rev. 0

Effective Date 5/27/88

Page 9 of 10

REV. NO.	ISSUED	SECTION TITLE	PAGE NO.

WMPO QAPP

N-QA-045  
1/87

Figure 2 - WMPO QAPP Format Sheet





**QUALITY MANAGEMENT PROCEDURE**

Title

PREPARATION AND CONTROL OF THE NNWSI  
PROJECT QAP AND THE WMPO QAPP

No. QMP-05-03

Rev. 0

Effective Date 5/27/88

Page 10 of 10

NNWSI PROJECT REQUEST FOR REVISION		N-QA-052 12/87
To _____		
From _____		
Date _____		
Procedure _____	Rev. _____	
Revision Requested:		
<input type="checkbox"/> Approved	Date:	
<input type="checkbox"/> Not Approved	Date:	
Comments: _____ _____		

Figure 3 - NNWSI Project Request for Revision



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-015  
12/87

Title

CONTROL OF NONCONFORMANCES

No. QMP-15-01

Rev. 1

Effective Date 5/27/88

Page 1 of 14

1.0 PURPOSE AND SCOPE

This procedure establishes the Waste Management Project Office (WMPO) system for the identification, segregation, documentation, evaluation, notification, disposition, and verification of corrective action of nonconforming WMPO Quality Assurance (QA) Level I and II items. This procedure also describes the system for the WMPO review and approval of nonconformance reports (NCRs) submitted by Participating Organizations and Nevada Test Site (NTS) Support Contractors to WMPO for review and approval as required by the Nevada Nuclear Waste Storage Investigations (NNWSI) Project QA Plan.

2.0 APPLICABILITY

This procedure applies to WMPO QA Level I and II items which have been identified by WMPO staff personnel as nonconforming. This procedure also applies to the WMPO review and approval of NCRs which are submitted by a Participating Organization or NTS Support Contractor. QMP-07-03, Control of Purchased Items and Services, delineates the WMPO methodology for controlling nonconforming items that are identified at a supplier's facility.

3.0 DEFINITIONS

3.1 CONDITIONAL RELEASE

Documented authorization to continue work on a nonconforming item prior to implementing the approved WMPO NCR disposition.

3.2 NONCONFORMING ITEM

An item that has been identified as being deficient in characteristic, documentation, or procedure that renders the quality of the item unacceptable or indeterminate.

3.3 REJECT/SCRAP

The disposition that is authorized when the nonconforming item cannot be reworked or repaired and is considered unacceptable for its intended use. The WMPO Hold Tag shall remain affixed to the nonconforming item until the item has been scrapped in accordance with appropriate U.S. Department of Energy (DOE) practices.

APPROVED BY

Project Manager, T&MS

Date

5/16/88

WMPO Project Quality Manager

Date

5/23/88

WMPO Project Manager

Date

5/18/88

**QUALITY MANAGEMENT PROCEDURE**

Title

CONTROL OF NONCONFORMANCES

No. QMP-15-01

Rev. 1

Effective Date 5/27/88

Page 2 of 14

**3.4 REPAIR**

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

**3.5 REWORK**

The process by which a nonconforming item is made to conform to original requirements by completion or correction using existing approved procedures.

**3.6 TASK MANAGER (TM)**

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 Principal Investigator (PI) or cost account manager depending on the respective task.

**3.7 USE-AS-IS**

The disposition that is authorized when it can be established that the item identified as nonconforming is satisfactory for its intended use.

**4.0 RESPONSIBILITIES****4.1 WMPO QA ORGANIZATION PERSONNEL**

WMPO QA Organization personnel are responsible for the documented identification and, when practical, segregation of nonconforming items. WMPO QA Organization personnel shall initiate WMPO NCRs; notify the affected organizations of the nonconforming items; apply and remove WMPO Hold Tags; track the status of and close out WMPO NCRs; maintain the WMPO NCR Log; and process WMPO NCRs and related QA records.

**4.2 WMPO PROJECT QUALITY MANAGER**

The WMPO Project Quality Manager (PQM) is responsible for the review and approval of WMPO NCRs and related dispositions, Conditional Releases, and NCR dispositions submitted by NTS Support Contractors and Participating Organizations.

**QUALITY MANAGEMENT PROCEDURE**

Title

CONTROL OF NONCONFORMANCES

No. QMP-15-01 Rev. 1

Effective Date 5/27/88

Page 3 of 14

**4.3 WMPO BRANCH CHIEFS**

The cognizant WMPO Branch Chief is responsible for the review and approval of WMPO NCRs and related dispositions, Conditional Releases, and NCR dispositions submitted by NTS Support Contractors and Participating Organizations.

**4.4 TASK MANAGER (TM)**

The cognizant TM is responsible for ensuring WMPO NCRs are evaluated and dispositioned, and for ensuring that the approved dispositions and related corrective actions are effected in a timely manner. When appropriate, the TM is responsible for obtaining necessary information from the supplier regarding the nonconforming item.

**4.5 QA ENGINEERING DIVISION (QAED) MANAGER**

The QAED Manager is responsible for the review and approval of WMPO NCRs, related dispositions, and Conditional Releases.

**4.6 WMPO STAFF PERSONNEL**

When a nonconforming item is observed or detected by WMPO staff personnel, the individual who observed or detected the nonconforming item is responsible for promptly notifying the WMPO PQM or any other individual in the WMPO QA Organization.

**4.7 QUALITY ASSURANCE VERIFICATION DIVISION (QAVD) MANAGER**

The QAVD Manager is responsible for the review and verification of voided or completed WMPO NCRs.

**5.0 PROCEDURE****5.1 IDENTIFICATION AND SEGREGATION OF NONCONFORMING ITEMS**

When a member of the WMPO staff observes or detects a nonconforming item, he/she shall promptly notify the WMPO PQM or any other individual in the WMPO QA Organization (hereafter referred to as the Initiator) who shall ensure the following measures are implemented to prevent further processing or inadvertent use of the item:

1. The Initiator shall contact the WMPO QA Organization Administrative Assistant and request the next sequential available WMPO NCR number (e.g., WMPO-1, WMPO-2, etc.). The unique WMPO NCR number shall be



## QUALITY MANAGEMENT PROCEDURE

Title

CONTROL OF NONCONFORMANCES

No. QMP-15-01

Rev. 1

Effective Date 5/27/88

Page 4 of 14

documented on both the WMPD Hold Tag (see Figure 1, WMPD Hold Tag) and associated WMPD NCR (see Section 5.2). The WMPD Hold Tag shall be completed by the Initiator with the appropriate information. When only a specific portion of the item is nonconforming, then that specific area of the item shall be identified on the WMPD Hold Tag, and work may proceed on the remaining areas of the item. The Initiator shall affix the WMPD Hold Tag(s) to the item. This tag shall be applied in such a manner that it is legible, securely attached to avoid loss, readily identifiable, and does not affect the end use of the item.

2. When practical, the Initiator shall segregate the nonconforming item from acceptable items by placing the nonconforming item in a clearly identified and designated controlled storage area.

## 5.2 ISSUING A WMPD NCR

5.2.1 A WMPD NCR shall be prepared by the Initiator in accordance with the instructions on the back of the WMPD NCR (see Figure 2, WMPD NCR), and as outlined in this procedure. If necessary, a Standard Deficiency Report (SDR) shall be generated by the Initiator in accordance with QMP-16-03, Standard Deficiency Reporting System, to document procedural or implementation deficiencies and/or to document a repetitive nonconformance. The Initiator shall verbally notify the TM and WMPD Branch Chief that a WMPD NCR and SDR, as appropriate, are being prepared and that WMPD Hold Tags have been affixed to the nonconforming item.

5.2.2 The WMPD NCR shall be forwarded to the QAED Manager and WMPD PQM for review and approval. The purpose of these reviews is to ensure the WMPD NCR and related documentation adequately identify and describe the nonconforming item, and the WMPD NCR is valid. If the QAED Manager rejects the WMPD NCR, he/she shall indicate "Void" with an explanation for voiding the WMPD NCR in the disposition space provided and sign/date Block 11. The QAED Manager shall notify the TM, WMPD Branch Chief, and Initiator of this action, and forward the voided WMPD NCR to the QAED Manager who shall review and process the voided WMPD NCR in accordance with Section 5.6. The QAED Manager shall update the WMPD NCR Log.

5.2.3 Following the QAED Manager's approval, he/she shall transmit the WMPD NCR to the WMPD PQM for review and approval. Following review and approval, as appropriate, the WMPD NCR shall be returned to the QAED Manager for transmittal to the responsible TM with instructions that the TM submit the required WMPD NCR disposition and other required information (see Section 5.3.2) to the QAED Manager within 20 working days of receipt of the WMPD NCR. Copies of the WMPD NCR shall be provided to the responsible WMPD Branch Chief



## QUALITY MANAGEMENT PROCEDURE

Title

CONTROL OF NONCONFORMANCES

No. QMP-15-01

Rev. 1

Effective Date 5/27/88

Page 5 of 14

and to the WMPO QA Organization Administrative Assistant for logging and tracking in accordance with Section 5.7. Should the WMPO PQM not approve the WMPO NCR, the WMPO PQM shall indicate "Void" with an explanation for voiding the WMPO NCR in the disposition space provided and sign/date Block 11. The WMPO PQM shall notify the WMPO Branch Chief, QAED Manager, Initiator, and TM that the WMPO NCR has been voided. The voided WMPO NCR shall be forwarded to the QAED Manager, who shall review and process the WMPO NCR in accordance with Section 5.6. The QAED Manager shall update the WMPO NCR Log.

### 5.3 DISPOSITIONING OF WMPO NCRs

5.3.1 Within 20 working days of receipt of the WMPO NCR the TM, and as appropriate, another individual designated by the TM (hereafter referred to as Dispositioner(s)), shall evaluate the WMPO NCR, determine and document the proposed disposition and related information (see Section 5.3.2) in the Disposition Section of the WMPO NCR, sign/date the WMPO NCR, and return it to the QAED Manager. The TM and, as appropriate, other Dispositioner performing the evaluation shall have demonstrated competence in the specific area he/she is evaluating, have an adequate understanding of the pertinent requirements, and have access to pertinent background information necessary to provide the required WMPO NCR disposition. As required, the TM shall obtain the necessary information from the supplier of the nonconforming item.

5.3.2 In the Disposition Section, Block 10, of the WMPO NCR the TM and, as appropriate, other Dispositioner shall indicate the proposed disposition (i.e., rework, repair, use-as-is, or reject/scrap) in the appropriate space provided; specify technical disposition instructions in adequate detail, and identify documentation requirements in regard to resolving the nonconforming condition. The proposed disposition shall include:

1. Appropriate justification for the disposition. In the case of use-as-is or repair dispositions, technical justification shall be documented. The as-built records, if such records are required, shall reflect the accepted deviation. In the case of repair dispositions, alternate acceptance criteria shall be established, if appropriate.
2. Approved design documents, procedures, plans, work orders, etc., that are to be used to correct the nonconforming item shall be identified by reference.
3. If a change to reflect the as-built condition is appropriate, then the disposition shall address the action required to change the existing design documents, test plans or procedures, instructions, reports, etc. Documents changed shall also be cross-referenced on the WMPO NCR.



## QUALITY MANAGEMENT PROCEDURE

Title

CONTROL OF NONCONFORMANCES

No. QMP-15-01

Rev. 1

Effective Date 5/27/88

Page 6 of 14

4. The cause of the nonconforming condition.
5. Corrective action required to preclude recurrence.
6. The completion date(s) for all required action.
7. The individuals or organizations responsible to implement the disposition and corrective action.

5.3.3 The TM and, as appropriate, other Dispositioner shall ensure the disposition complies with existing design documents, test plans, procedures, instructions, reports, and regulatory requirements; sign/date the WMPO NCR; and forward the WMPO NCR and other related documents that support the disposition to the QAED Manager.

#### 5.4 CONDITIONAL RELEASE

5.4.1 If at anytime following receipt of the WMPO NCR and prior to implementing the WMPO NCR disposition and related actions, it is determined that work must proceed on the nonconforming item, the TM shall formally request a Conditional Release. This request for a Conditional Release shall include documented justification that the following conditions are met:

1. The nonconforming item can be removed or corrected at a later date without damage to or contamination of the associated permanent facility, equipment, or structures.
2. The nonconforming item shall remain accessible for inspection.
3. The nonconforming item shall be evaluated to establish limitations for use of the item and other affected equipment or systems.
4. Traceability and identification of the nonconforming item shall be maintained.

5.4.2 The request for a Conditional Release shall reference the appropriate WMPO NCR number; identify the nonconforming item; provide a clear, concise reason the Conditional Release is necessary (e.g., item needed to support construction or test schedule); and state the conditions and precise limitations of the Conditional Release (e.g., for use in performing acceptance test of NNWSI Project Environmental/Radiological Monitoring Program air samplers only, and then to be returned to controlled storage). The request for a Conditional Release shall be signed/dated by the TM and forwarded to the QAED Manager who shall review the request to determine if it complies with the requirements of this procedure. If the request is determined to be adequate,



## QUALITY MANAGEMENT PROCEDURE

Title

CONTROL OF NONCONFORMANCES

No. QMP-15-01

Rev. 1

Effective Date 5/27/88

Page 7 of 14

the QAED Manager shall formally transmit the request to the responsible WMPO Branch Chief and WMPO PQM for review and approval. If the request is approved by the WMPO Branch Chief and WMPO PQM, the QAED Manager shall prepare a Conditional Release approval letter. This approval letter shall be signed/dated by the QAED Manager, WMPO Branch Chief, and WMPO PQM and transmitted to the TM.

5.4.3 The QAED Manager shall ensure the WMPO NCR Log reflects the fact that a Conditional Release has been issued for a specific WMPO NCR, a copy of the Conditional Release is provided to the WMPO QA Organization Administrative Assistant to attach to the appropriate WMPO NCR, and the affected WMPO Hold Tag(s) are updated to reflect the approved Conditional Release authorization. If the request for a Conditional Release is rejected by the QAED Manager, WMPO Branch Chief, or WMPO PQM, the QAED Manager shall notify the TM in writing and include the justification for the rejection.

#### 5.5 REVIEW AND APPROVAL OR REJECTION OF DISPOSITIONS FOR WMPO NCRs

5.5.1 Dispositioned WMPO NCRs shall be reviewed by the QAED Manager. The purpose of the QAED Manager's review is to ensure that the proposed WMPO NCR disposition and related documentation are complete, adequate to resolve the nonconforming condition, and conform to the requirements of this procedure. If appropriate, the QAED Manager shall indicate his/her approval by checking the "SAT" Block and signing/dating the WMPO NCR. The QAED Manager shall forward the WMPO NCR to the WMPO Branch Chief and WMPO PQM for their review and approval. If the dispositioned WMPO NCR is determined to be unsatisfactory, the QAED Manager shall reject the proposed disposition per Section 5.5.4.

5.5.2 The WMPO Branch Chief and WMPO PQM shall review the dispositioned WMPO NCR to determine if they concur with the proposed disposition and related actions. If appropriate, the WMPO Branch Chief and WMPO PQM shall indicate their approval by checking the "SAT" Block and signing/dating the WMPO NCR. Following the review and approval of the WMPO NCR by the WMPO Branch Chief and WMPO PQM, the QAED Manager shall forward the WMPO NCR to the responsible TM for implementation. If the dispositioned WMPO NCR is determined to be unsatisfactory, the WMPO NCR shall be rejected per Section 5.5.4.

5.5.3 Upon receipt of the approved disposition, the responsible TM shall implement and complete the disposition and corrective action prior to the scheduled completion date. Following the completion of required actions, the WMPO NCR shall be signed/dated by the TM and forwarded to the QAED Manager.

5.5.4 As appropriate, the QAED Manager, WMPO Branch Chief, or WMPO PQM shall indicate rejection of the proposed WMPO NCR disposition by checking the "UNSAT" Block and signing/dating the WMPO NCR. The WMPO NCR with justification for





## QUALITY MANAGEMENT PROCEDURE

Title

CONTROL OF NONCONFORMANCES

No. QMP-15-01

Rev. 1

Effective Date 5/27/88

Page 8 of 14

rejection shall be returned to the responsible TM by the QAED Manager for further action, as appropriate.

5.5.5 WMPO NCRs dispositioned use-as-is and approved by the QAED Manager, WMPO Branch Chief, and WMPO PQM shall be reviewed for completion per Section 5.6. A copy of the dispositioned and completed WMPO NCR shall be forwarded to the responsible TM by the QAED Manager.

#### 5.6 QA REVIEW AND VERIFICATION OF VOIDED OR COMPLETED WMPO NCRs

5.6.1 Upon receipt and logging of the voided or completed WMPO NCR, the QAED Manager, shall assign an individual from the A&SD to perform a review and verification of the voided or completed WMPO NCR disposition and corrective action, as appropriate.

5.6.2 This review and verification includes a review of the WMPO NCR for completeness; an evaluation of supporting documentation, as appropriate, to determine its adequacy; and as necessary, physical verification of the completed disposition and corrective action as depicted in the WMPO NCR. Repaired or reworked items shall be reexamined in accordance with applicable procedures and the original acceptance criteria, unless the approved WMPO NCR disposition (i.e., repair) has established alternate acceptance criteria.

5.6.3 The acceptability of the QA review and verification shall be documented on the WMPO NCR, which shall complete all actions associated with the conditions identified within that WMPO NCR. Should the QA review and verification result in an unsatisfactory condition, the WMPO NCR shall be reissued with a revision letter (see Section 5.7) and processed in the same manner as the original. The individual assigned QA review and verification responsibility shall remove all applicable WMPO Hold Tags from the nonconforming item and update the WMPO NCR Log (see Section 5.7). Voided or completed, dispositioned WMPO NCRs shall be processed into the QA Records system by the individual performing the QA review and verification in accordance with QMP-17-01, Quality Assurance Records. Copies of voided and completed WMPO NCRs shall be transmitted to the responsible TMs.

#### 5.7 WMPO NCR LOG

5.7.1 WMPO NCR numbers shall be maintained by the WMPO QA Organization Administrative Assistant in the WMPO NCR Log. Numbers shall be issued in sequential order. A letter designator shall be used when revisions are required, e.g., WMPO-1, WMPO-2, and WMPO-1-A, or WMPO-2-A, etc. A copy of the WMPO NCR shall be kept with the WMPO NCR Log until the WMPO NCR is closed. At that time the copy may be discarded. The Initiator shall maintain cognizance of the status of the WMPO NCR and related nonconforming item, and shall assure the WMPO NCR Log is current.

**QUALITY MANAGEMENT PROCEDURE**

Title

CONTROL OF NONCONFORMANCES

No. QMP-15-01

Rev. 1

Effective Date 5/27/88

Page 9 of 14

5.7.2 The following information shall be included in the WMPD NCR Log:

1. The WMPD NCR number.
2. A brief description of the nonconforming item and condition.
3. The person(s) or organization(s) responsible for delineating and implementing the disposition and corrective action.
4. The status of each WMPD NCR, whether it is open, approved, rejected, voided, and/or closed.
5. The Initiator's name and organization.
6. Conditional Release in effect, if appropriate.

**5.8 TRENDING**

WMPD NCRs shall be evaluated for trending conditions in accordance with QMP-16-02, Trend Analysis.

**5.9 WMPD REVIEW OF PARTICIPATING ORGANIZATIONS AND NTS SUPPORT CONTRACTORS NONCONFORMANCE REPORTS**

5.9.1 The NNWSI Project QA Plan requires Participating Organizations and NTS Support Contractors to submit NCRs that have proposed dispositions of use-as-is or repair to WMPD for approval prior to implementing the NCR dispositioned repair or closing out the completed NCR dispositioned use-as-is.

5.9.2 The cognizant WMPD Branch Chief and WMPD PQM shall review the proposed NCR disposition to assure that appropriate technical justification of the disposition is provided to support implementation. If acceptable, the WMPD Branch Chief and WMPD PQM shall approve the disposition for implementation by signing/dating the NCR.

5.9.3 The WMPD approved, dispositioned NCR shall be returned to the affected organization's Technical Project Officer (TPO) and QA Manager by the QAED Manager for implementation or close out, as appropriate.

5.9.4 Unacceptable NCR dispositions shall be returned to the affected organization's TPO and QA Manager by the QAED Manager with a request for further consideration, as appropriate, and resubmittal to WMPD for approval.



## QUALITY MANAGEMENT PROCEDURE

Title

CONTROL OF NONCONFORMANCES

No. QMP-15-01

Rev. 1

Effective Date 5/27/88

Page 10 of 14

## 6.0 REFERENCES\*

NNWSI Project QA Plan.

QMP-07-03, Control of Purchased Items and Services.

QMP-16-02, Trend Analysis.

QMP-16-03, Standard Deficiency Reporting System.

QMP-17-01, Quality Assurance Records.

\*Latest Revision

## 7.0 FIGURES

Figure 1 - WMPD Hold Tag.

Figure 2 - WMPD Nonconformance Report.

## 8.0 QA RECORDS

The following documents resulting from the implementation of this procedure shall be designated, processed, and maintained as QA Records in accordance with QMP-17-01, Quality Assurance Records:

1. Completed, dispositioned WMPD NCRs and associated documentation.
2. Voided WMPD NCRs.
3. Conditional Releases.



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016  
7/87

Title

CONTROL OF NONCONFORMANCES

No. QMP-15-01

Rev. 1

Effective Date 5/27/88

Page 11 of

14

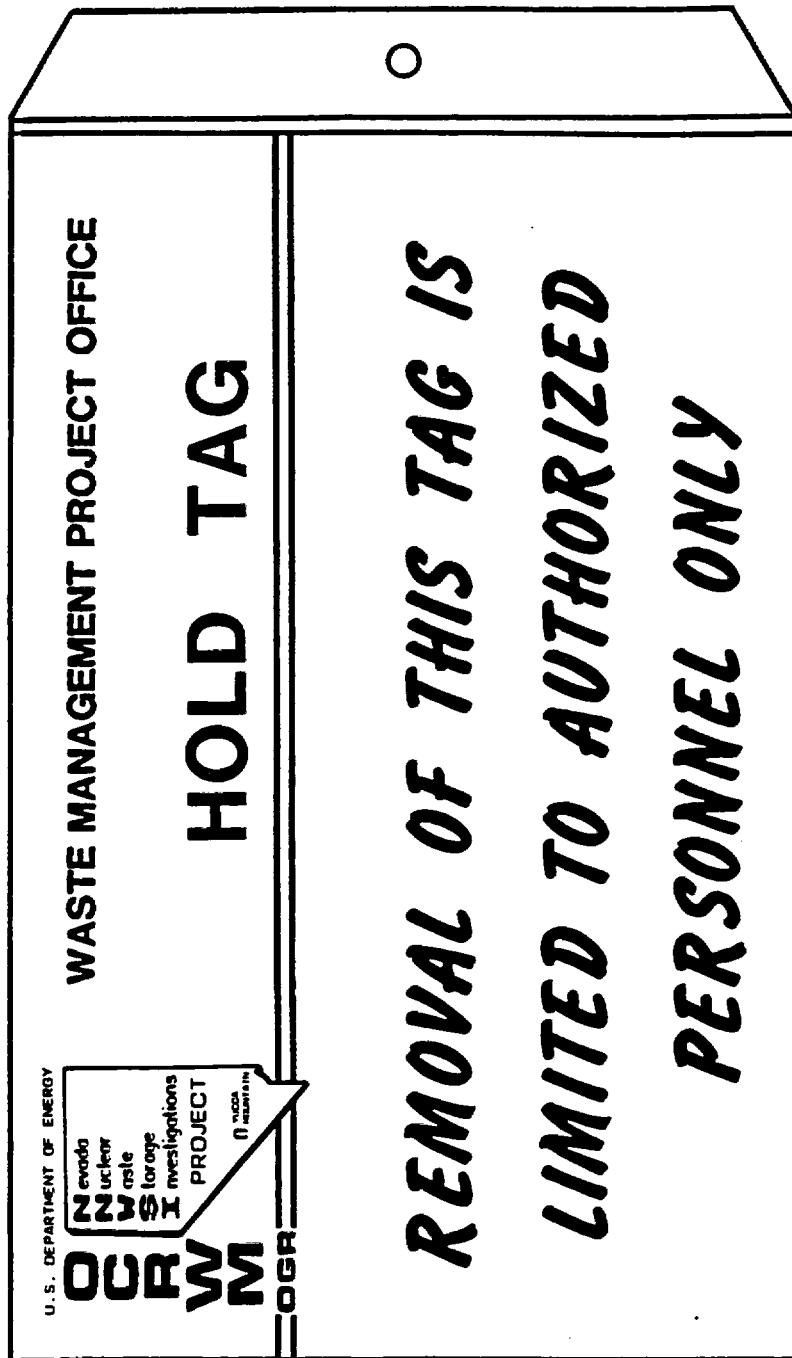


Figure 1 - WMPD Hold Tag (Front)



**QUALITY MANAGEMENT PROCEDURE**

Title

CONTROL OF NONCONFORMANCES

No.

QMP-15-01

Rev.

1

Effective Date

5/27/88

Page

12 of

14

**WMPO HOLD TAG**

TAG: \_\_\_\_\_ OF \_\_\_\_\_

NCR NO.: \_\_\_\_\_ DATE: \_\_\_\_\_

ITEM DESCRIPTION: \_\_\_\_\_

ITEM IDENTIFICATION NO.: \_\_\_\_\_

REASON FOR HOLD: \_\_\_\_\_

\_\_\_\_\_ WMPO QA ORGANIZATION/DATE

CONDITIONAL RELEASE RESTRICTIONS FOR USE: \_\_\_\_\_

\_\_\_\_\_ WMPO QA ORGANIZATION/DATE

Figure 1 (continued) - WMPO Hold Tag (Back)



WASTE MANAGEMENT PROJECT OFFICE  
**QUALITY MANAGEMENT PROCEDURE**

N-QA-016  
7/87

Title

CONTROL OF NONCONFORMANCES

No. QMP-15-01

Rev. 1

Effective Date 5/27/88

Page 13 of 14

WASTE MANAGEMENT PROJECT OFFICE NONCONFORMANCE REPORT			N-QA-009 5/88
<sup>1</sup> NCR No:	Date:	<sup>2</sup> Item Identification:	<sup>3</sup> Responsible Organization:
<sup>4</sup> Drawing No. and Rev.:	<sup>5</sup> Specification No. and Rev.:	<sup>6</sup> Hold Tag(s) Applied: <input type="checkbox"/> Yes	
<sup>7A</sup> Requirements:		<sup>7B</sup> Nonconforming Condition:	
<sup>8</sup> Initiator's Signature/Date:	<sup>9</sup> QAED Manager's Approval/Date:	<sup>10</sup> WMPO PQM's Approval/Date:	
<sup>11</sup> Disposition: <input type="checkbox"/> Rework <input type="checkbox"/> Repair <input type="checkbox"/> Use-As-Is <input type="checkbox"/> Reject/Scrap			
Scheduled Completion Date: _____		Page 1 of _____	
<sup>12</sup> Dispositioner's Signature/Date:		Responsible Manager's Signature/Date:	
<sup>13</sup> WMPO Approvals:			
<input type="checkbox"/> Sat.	<input type="checkbox"/> Unsat.	QAED Manager _____	Date _____
<input type="checkbox"/> Sat.	<input type="checkbox"/> Unsat.	WMPO Branch Chief _____	Date _____
<input type="checkbox"/> Sat.	<input type="checkbox"/> Unsat.	WMPO PQM _____	Date _____
<sup>14</sup> Action Completed:	Responsible Manager's Signature/Date		
Date _____	_____		
<sup>15</sup> QA Review and Verification: <input type="checkbox"/> Sat. <input type="checkbox"/> Unsat. <input type="checkbox"/> Hold Tag(s) Removed			
QA Signature: _____		Date: _____	

Figure 2 - WMPO Nonconformance Report



QUALITY MANAGEMENT PROCEDURE

<b>Title</b>  <b>CONTROL OF NONCONFORMANCES</b>	<b>No.</b> QMP-15-01 <b>Rev.</b> 1 <b>Effective Date</b> 5/27/88 <b>Page</b> 14 of 14
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**INITIATOR**

- 1. **NCR No. and Date**      Obtain NCR number from the WMPO QA Organization Administrative Assistant and enter the number and the current date.
- 2. **Item Identification**      Describe the item(s), including the quantity, and provide identification number(s), if available (e.g., one, type F radon detector, serial number S1).
- 3. **Responsible Organization**      Identify the organization that is responsible for the nonconforming item and for providing the disposition.
- 4. **Specification No. and Revision**      Enter applicable specification number and revision. If none, enter N/A.
- 5. **Drawing No. and Revision**      Enter applicable drawing number and revision. If none, enter N/A.
- 6. **Hold Tag(s) Applied**      Indicate yes when Hold Tags have been applied.
- 7. **Description of Nonconformance**
  - A. **Requirements**      Identify the applicable requirements, including the source of the requirements.
  - B. **Nonconforming Condition**      Describe the nonconforming condition of the item.
- 8. **Initiator's Signature/Date**      Initiator signs and dates.

**APPROVALS**

- 9. **QAED Manager's Approval/Date**      QAED Manager signs and dates.
- 10. **WMPO PQM's Approval/Date**      WMPO PQM signs and dates.

**RESPONSIBLE ORGANIZATION**

- 11. **Disposition**      Check appropriate disposition block and provide required information per Section 5.3.2. Enter date all required actions will be completed.
- 12. **Disposition Approval**      Signature/date of Dispositioner and Responsible Manager, or the signature/date of the individual voiding the NCR.

**APPROVALS**

- 13. **QAED Manager**      Check sat. or unsat., enter signature and date.
- WMPO Branch Chief**      Check sat. or unsat., enter signature and date.
- WMPO PQM**      Check sat. or unsat., enter signature and date.

**RESPONSIBLE ORGANIZATION**

- 14. **Action Completed**      Enter the date all required actions were completed and the signature/date of the Responsible Manager.

**WMPO VERIFICATION**

- 15. **QA Review and Verification**      If the NCR and supporting documentation are acceptable per Section 5.6.2, and the results of the QA review and verification of completed disposition and corrective action are acceptable, check satisfactory and remove WMPO Hold Tag(s). If not, check unsatisfactory and process per Section 5.6.3. The individual who performed the review and verification shall sign/date the NCR, update the WMPO NCR Log, and process the NCR and supporting documentation per QMP-17-01, QA Records.

Figure 2 (continued) - WMPO Nonconformance Report Instructions



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-015  
12/87

Title

TREND ANALYSIS

No. QMP-16-02

Rev. 2

Effective Date 5/27/88

Page 1 of 8

1.0 PURPOSE AND SCOPE

This procedure establishes the Waste Management Project Office (WMPO) system for performing trend analyses of WMPO generated nonconformance reports (NCRs) and standard deficiency reports (SDRs) for the purposes of identifying repetitive conditions adverse to quality which may be indicative of Quality Assurance (QA) program systematic weaknesses, and implementing appropriate measures to preclude recurrence.

2.0 APPLICABILITY

This procedure applies to the WMPO Quality Assurance (QA) Organization personnel who perform, evaluate or report the results of trend analyses of WMPO issued NCRs and SDRs.

3.0 DEFINITIONS

3.1 TREND

A trend is a collection of data, grouped by a common denominator, that reveals the existence of repetitive conditions adverse to quality over a period of time. Repetitive conditions adverse to quality include duplication of significant conditions adverse to quality, frequent occurrences of a condition adverse to quality, or the occurrence of similar conditions adverse to quality which may suggest underlying QA program systematic weaknesses.

3.2 STANDARD DEFICIENCY REPORT

An SDR is a preformatted form used to document deficient, nonhardware related conditions adverse to quality, remedial/investigative/corrective actions, evaluation of these actions, and verification of satisfactory completion of these actions.

3.3 NONCONFORMANCE REPORT

An NCR is a preformatted form used to document WMPO items which do not conform to specified requirements, the approved dispositions of these items, and the verification of satisfactory completion of the dispositions and related actions.

APPROVED BY

Project Manager, TXMSS  
*Michael Lopez*  
Date - 5/16/88

WMPO Project Quality Manager  
*James Blaylock*  
Date 5/23/88

WMPO Project Manager  
*Michael Lopez*  
Date 5/18/88



**QUALITY MANAGEMENT PROCEDURE**

Title

TREND ANALYSIS

No. QMP-16-02

Rev. 2

Effective Date 5/27/88

Page 2 of 8

**4.0 RESPONSIBILITIES****4.1 WMPO Project Quality Manager (PQM)**

The WMPO PQM is responsible for approving trend analysis reports; SDRs issued as a result of trend analyses; and letters requesting responsible organizations to assess, and as appropriate, resolve conditions identified in trend analysis reports.

**4.2 PROJECT QA DEPARTMENT MANAGER**

The Project QA Department Manager is responsible for approving trend analysis reports.

**4.3 QUALITY ASSURANCE ENGINEERING DIVISION (QAED) MANAGER**

The QAED Manager is responsible for evaluating WMPO issued NCRs and SDRs, categorizing the deficiencies described in the NCRs and SDRs, trending the deficiencies on charts, generating trend analysis reports on a semiannual basis, and issuing and tracking SDRs for those repetitive conditions adverse to quality which may indicate a possible QA program systematic weakness. When determined necessary, the QAED Manager is responsible for preparing letters requesting responsible organizations to assess, and as appropriate, resolve conditions identified in trend analysis reports.

**5.0 PROCEDURE****5.1 EVALUATION OF WMPO ISSUED NCRs AND SDRs**

5.1.1 The following documents which have been issued by WMPO during the previous six months shall be evaluated by the QAED Manager to determine trends:

1. NCRs (see QMP-15-01, Control of Nonconformances).
2. SDRs (see QMP-16-03, Standard Deficiency Reporting System).

NOTE: SDRs may result from the performance of WMPO audits, surveillances, or document reviews, or at any time conditions adverse to quality are observed in regard to Nevada Nuclear Waste Storage Investigations (NNWSI) Project Participants' activities. WMPO issued NCRs apply only to nonconforming WMPO items.



## QUALITY MANAGEMENT PROCEDURE

Title

TREND ANALYSIS

No. QMP-16-02

Rev. 2

Effective Date 5/27/88

Page 3 of 8

5.1.2 The information obtained from the evaluation of NCRs and SDRs shall be plotted on charts in order to identify and track trends.

5.1.3 The deficiencies shall be trended by criteria type which parallels the existing NNWSI Project QA Plan criteria, and displayed on charts as represented by Figure 1, Trend Analysis Chart for Criteria Deficiencies.

5.1.4 Each of the deficiencies shall then be categorized by the QAED Manager as a specific deficiency type totally independent of the criteria previously trended in Section 5.1.3, as depicted by Figure 2, Trend Analysis Chart for Deficiency Types.

5.1.5 These charts shall be subdivided, classified, and analyzed by the QAED Manager to establish a chart of performance (comparative analysis) to determine whether the data collected indicate positive, nonexistent, or negative systematic trends. See Figure 3, Trend Analysis Chart for Comparative (Criteria) Analysis, and Figure 4, Trend Analysis Chart for Comparative (Deficiency Type) Analysis.

5.1.6 The trend analysis charts shall be evaluated by the QAED Manager to determine if systematic QA program weaknesses exist, and, initiate SDRs as appropriate, in accordance with QMP-16-03.

## 5.2 TREND ANALYSIS REPORT

5.2.1 The QAED Manager shall prepare a trend analysis report which shall include a summary of the trend analysis effort, positive and negative trending conditions, appropriate charts, and as applicable, a list of SDRs which were generated (see Section 5.1.6) to identify adverse systematic trending conditions. This report shall also describe other conditions noted during the trend analysis which are not considered to be adverse systematic trending conditions warranting the issuance of SDRs, but do require assessment, and as appropriate, actions to resolve the conditions. Trend analysis reports shall be approved by the Project QA Department Manager and the WMPO PQM, and distributed to the WMPO Project Manager; WMPO Branch Chiefs; Project Manager, T&MSS; and Department Managers for information.

5.2.2 SDRs issued to identify adverse systematic trending conditions shall be responded to, tracked, verified complete, and closed in accordance with QMP-16-03. When determined necessary, the QAED Manager shall prepare a letter to the responsible organization requesting an assessment and as appropriate, action to resolve other conditions noted during the trend analysis that did not warrant the issuance of an SDR. The letter shall be approved by the WMPO PQM prior to transmittal, and shall require no response unless specifically requested by the WMPO PQM.

**QUALITY MANAGEMENT PROCEDURE**

Title

TREND ANALYSIS

No. QMP-16-02 Rev. 2  
Effective Date 5/27/88  
Page 4 of 8**6.0 REFERENCES\***

NNWSI/88-9, NNWSI Project QA Plan

QMP-15-01, Control of Nonconformances

QMP-16-03, Standard Deficiency Reporting System

QMP-17-01, Quality Assurance Records

\*Latest Revision

**7.0 FIGURES**

Figure 1 - Trend Analysis Chart for Criteria Deficiencies (Example).

Figure 2 - Trend Analysis Chart for Deficiency Type (Example).

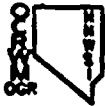
Figure 3 - Trend Analysis Chart for Comparative (Criteria) Analysis (Example).

Figure 4 - Trend Analysis Chart for Comparative (Deficiency Type) Analysis (Example).

**8.0 QA RECORDS**

The following documents resulting from the implementation of this procedure shall be maintained and processed as QA Records in accordance with QMP-17-01, Quality Assurance Records:

1. Trend analysis charts.
2. Semiannual trend analysis reports and related correspondence.
3. SDRs written as a result of the trend analyses.



# QUALITY MANAGEMENT PROCEDURE

Title

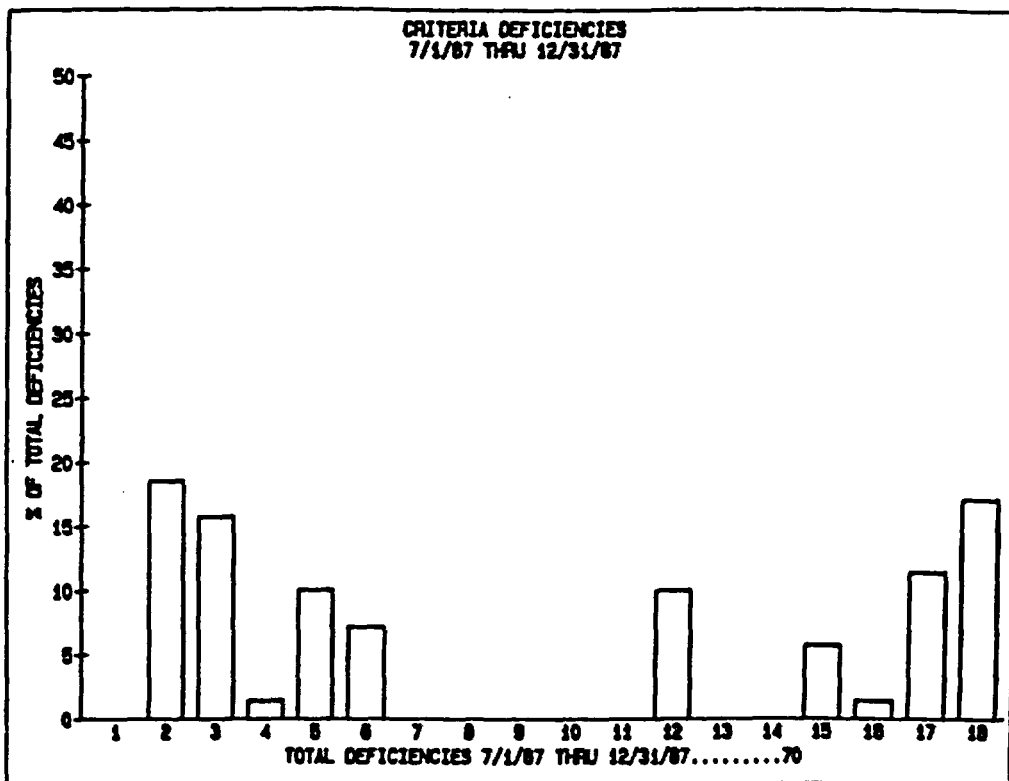
TREND ANALYSIS

No. QMP-16-02

Rev. 2

Effective Date 5/27/88

Page 5 of 8



GD-87

### CRITERIA CODE KEY

CY = CALENDAR YEAR

	TOTAL SCR's		TOTAL SCR's
1. ORGANIZATION	0	10. INSPECTION	0
2. QA PROGRAM	13	11. TEST CONTROL	0
3. SCIENTIFIC INVESTIGATION AND DESIGN CONTROL	11	12. CONTROL OF MEASURING AND TEST EQUIPMENT	7
4. PROCUREMENT DOCUMENT CONTROL	1	13. STORAGE AND SHIPPING HANDLING	0
5. INSTRUCTION, PROCEDURES, AND DRAWINGS	7	14. INSPECTION, TEST, AND OPERATING STATUS	0
6. DOCUMENT CONTROL	8	15. CONTROL OF NONCONFORMING ITEMS	4
7. CONTROL OF PURCHASED ITEMS/ SERVICES	0	16. CORRECTIVE ACTION	2
8. IDENTIFICATION AND CONTROL OF ITEMS, SAMPLES AND DATA	0	17. QA RECORDS	8
9. CONTROL OF PROCESSES	0	18. AUDITS	12

Figure 1 - Trend Analysis Chart for Criteria Deficiencies (Example)



QUALITY MANAGEMENT PROCEDURE

Title

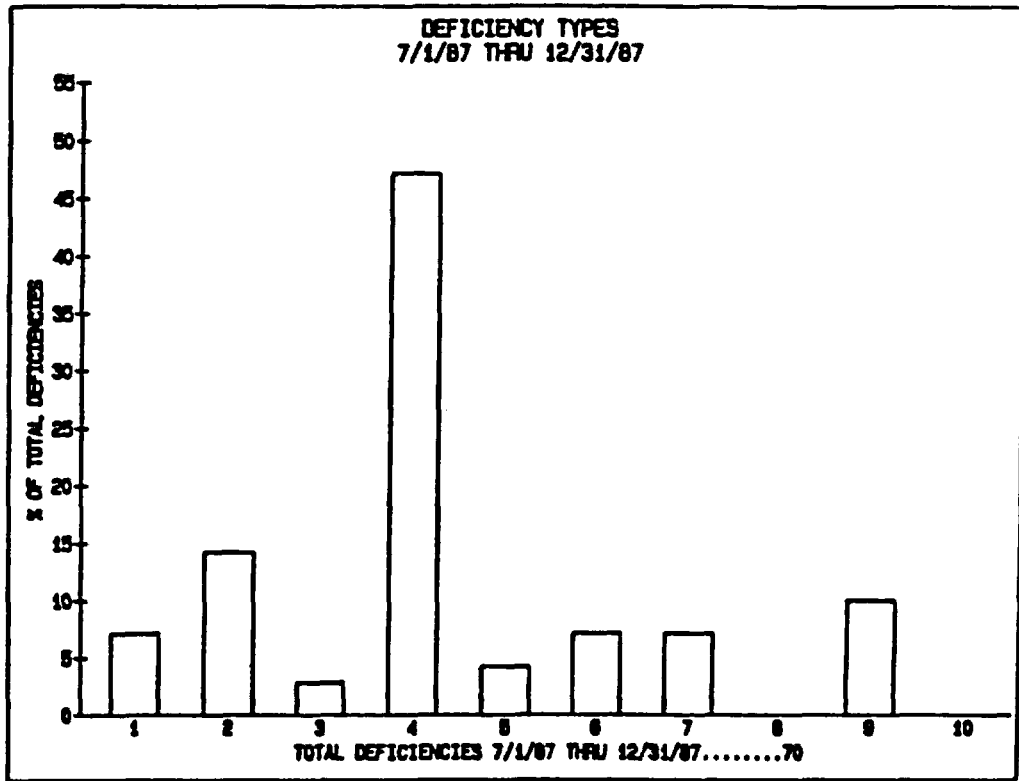
TREND ANALYSIS

No. QMP-16-02

Rev. 2

Effective Date 5/27/88

Page 6 of 8



67-67

DEFICIENCY TYPE CODE KEY:

- |                               |    |
|-------------------------------|----|
| 1. DOCUMENTATION              | 5  |
| 2. INADEQUATE REVIEW/APPROVAL | 10 |
| 3. TRAINING/INDOCTRINATION    | 2  |
| 4. PROCEDURAL/IMPLEMENTATION  | 33 |
| 5. TRACEABILITY               | 3  |
| 6. TIMELINESS                 | 5  |
| 7. INADEQUATE PROCEDURE       | 5  |
| 8. MANAGEMENT ASSESSMENT      | 0  |
| 9. INADEQUATE PROGRAM         | 7  |
| 10. PROCUREMENT REQUIREMENTS  | 0  |

70

Figure 2 - Trend Analysis Chart for Deficiency Type (Example)



# QUALITY MANAGEMENT PROCEDURE

Title

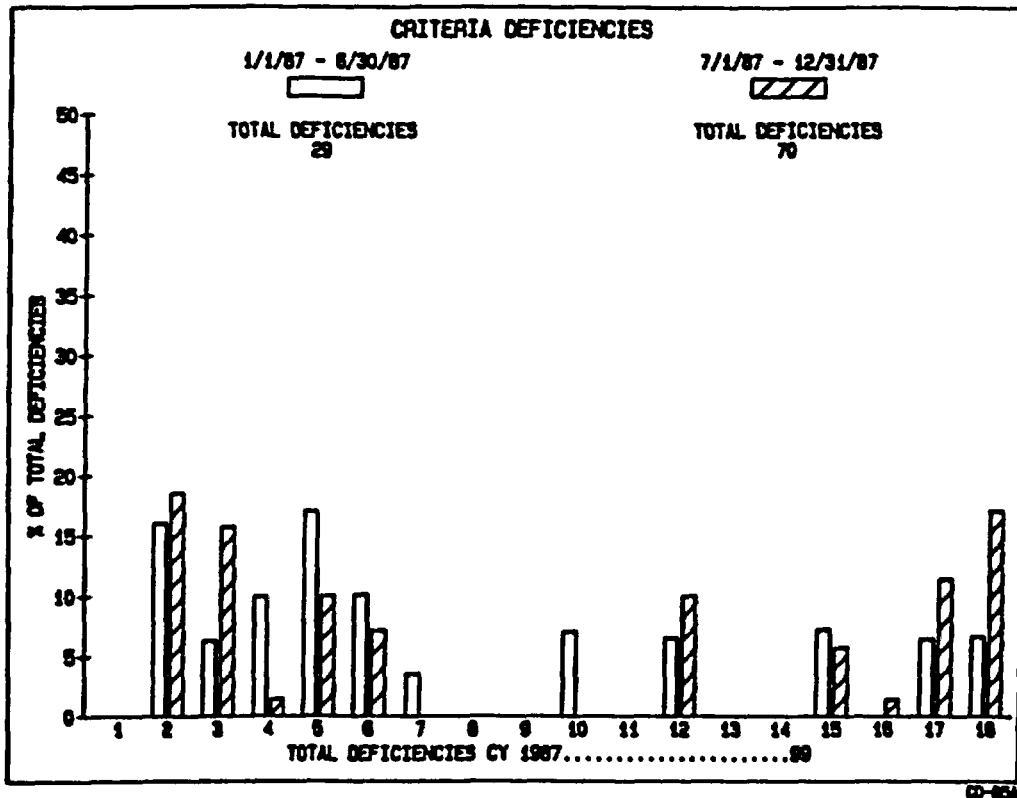
TREND ANALYSIS

No. QMP-16-02

Rev. 2

Effective Date 5/27/88

Page 7 of 8



**CRITERIA CODE KEY**

CY = CALENDAR YEAR

- |  |   |
|--|---|
| 1. ORGANIZATION  | 10. INSPECTION                              |
| 2. QA PROGRAM  | 11. TEST CONTROL                            |
| 3. SCIENTIFIC INVESTIGATION AND DESIGN CONTROL           | 12. CONTROL OF MEASURING AND TEST EQUIPMENT |
| 4. PROCUREMENT DOCUMENT CONTROL                          | 13. STORAGE AND SHIPPING HANDLING           |
| 5. INSTRUCTION, PROCEDURES, AND DRAWINGS                 | 14. INSPECTION, TEST, AND OPERATING STATUS  |
| 6. DOCUMENT CONTROL                                      | 15. CONTROL OF NONCONFORMING ITEMS          |
| 7. CONTROL OF PURCHASED ITEMS/ SERVICES                  | 16. CORRECTIVE ACTION                       |
| 8. IDENTIFICATION AND CONTROL OF ITEMS, SAMPLES AND DATA | 17. QA RECORDS                              |
| 9. CONTROL OF PROCESSES                                  | 18. AUDITS                                  |

Figure 3 - Trend Analysis Chart for Comparative (Criteria) Analysis (Example)



QUALITY MANAGEMENT PROCEDURE

Title

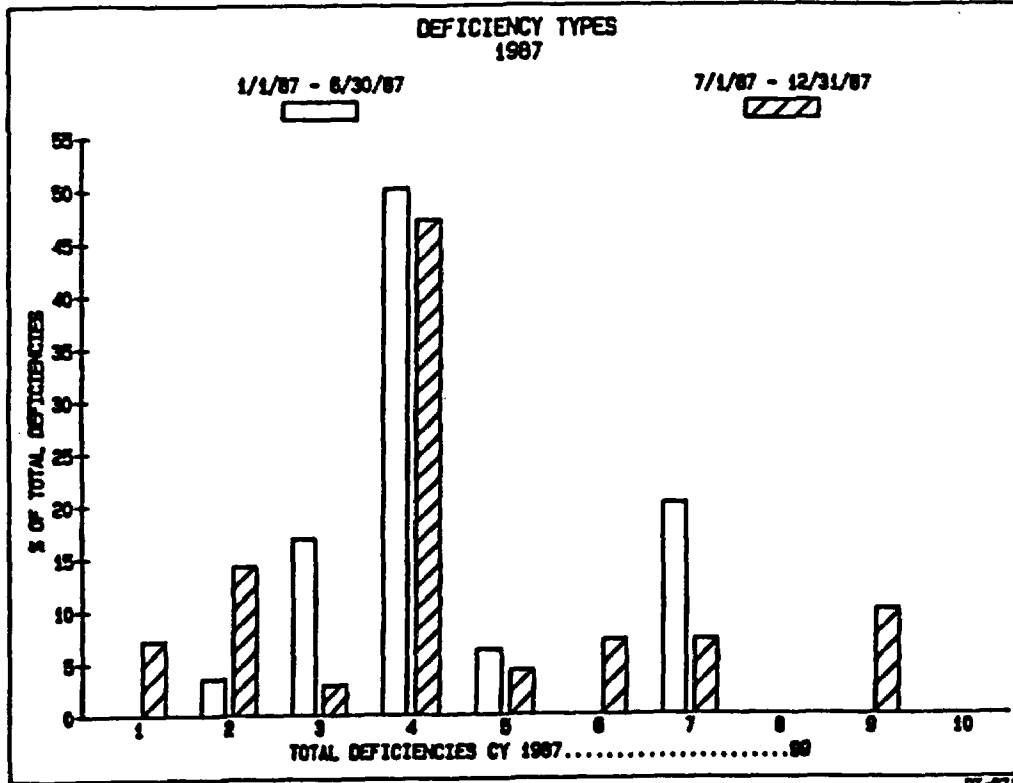
TREND ANALYSIS

No. QMP-16-02

Rev. 2

Effective Date 5/27/88

Page 8 of 8



GT-07A

DEFICIENCY TYPE CODE KEY:

1. DOCUMENTATION
2. INADEQUATE REVIEW/APPROVAL
3. TRAINING/INDOCTRINATION
4. PROCEDURAL/IMPLEMENTATION
5. TRACEABILITY
6. TIMELINESS
7. INADEQUATE PROCEDURE
8. MANAGEMENT ASSESSMENT
9. INADEQUATE PROGRAM
10. PROCUREMENT REQUIREMENTS

Figure 4 - Trend Analysis Chart for Comparative (Deficiency Type) Analysis (Example)



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-015  
12/87

<p>Title</p> <p>SURVEILLANCES</p>	<p>No. QMP-18-02 Rev. 1</p> <p>Effective Date 5/27/88</p> <p>Page 1 of 7</p>
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1.0 PURPOSE AND SCOPE

The purpose of this procedure is to establish responsibilities and methods for surveillances associated with activities performed in support of the Nevada Nuclear Waste Storage Investigations (NNWSI) Project. The scope of this procedure encompasses planning, performing, and reporting Waste Management Project Office (WMPO) authorized NNWSI Project surveillances.

2.0 APPLICABILITY

This procedure applies to all surveillance activities that are conducted by WMPO in support of the NNWSI Project.

3.0 DEFINITIONS

3.1 SURVEILLANCE

A surveillance is the act of monitoring or observing to verify whether or not an item or activity conforms to specified requirements.

3.2 OBSERVATION

An observation is the recognition of a weakness in a Quality Assurance (QA) Program that, if left uncorrected, could result in a condition adverse to quality.

4.0 RESPONSIBILITIES

4.1 WMPO PROJECT QUALITY MANAGER (PQM)

The WMPO PQM is responsible for verifying the effective implementation of Quality Assurance Program Plans (QAPPs) of organizations providing items or services to the NNWSI Project through the process of periodic audits and surveillances. The WMPO PQM is also responsible for evaluating and approving surveillance reports and ensuring that conditions adverse to quality are reported and evaluated.

APPROVED BY

Project Manager, T&MSS

Date

5/16/88

WMPO Project Quality Manager

Date

5/23/88

WMPO Project Manager

Date

5/18/88





## QUALITY MANAGEMENT PROCEDURE

Title

SURVEILLANCES

No. QMP-18-02 Rev. 1

Effective Date 5/27/88

Page 2 of 7

#### 4.2 QA VERIFICATION DIVISION MANAGER

The QA Verification Division Manager is responsible for developing and maintaining the WMPO surveillance schedule and the NNWSI Project Surveillance Report Status Log (see Figure 1, NNWSI Project Surveillance Report Status Log). Additional responsibilities include indoctrinating and training of surveillance personnel to meet the requirements of QMP-02-01, Indoctrination and Training of Personnel Performing Quality Related Activities, and selecting surveillance personnel on the basis of experience and/or training commensurate with the scope, complexity, or special nature of the activities to be surveilled.

#### 4.3 SURVEILLANCE PERSONNEL

Surveillance personnel are responsible for planning, conducting, reporting results, evaluating responses, and verifying follow-up actions relating to WMPO surveillance operations.

### 5.0 PROCEDURE

#### 5.1 PLANNING

5.1.1 The QA Verification Division Manager shall prepare surveillance schedules commensurate with NNWSI Project activities. Weekly reports, results of previous surveillances or audits, the QA level of the operation, Trend Analysis Reports, Standard Deficiency Reports, and Nonconformances Reports shall be considered when developing the schedule. The schedule shall indicate the activity or area to be observed. Copies of the surveillance schedule shall be sent to the appropriate individuals/organizations.

5.1.2 Surveillance personnel have the option of preparing the Surveillance Checklist (see Figure 2, Surveillance Checklist) or a Surveillance Plan, as appropriate, that identifies elements of the activity to be observed. The Surveillance Checklist or the Surveillance Plan shall, as appropriate, identify characteristics, methods, and applicable requirements which shall be evaluated and verified to determine the adequacy of implementation and compliance with NNWSI Project requirements. Applicable reference documents shall be reviewed prior to the start of the surveillance to determine specific requirements to be observed during the surveillance. Requirements documents used to conduct the surveillance shall be listed in the surveillance report. It should be noted that in some cases a surveillance may be conducted without either a Surveillance Checklist or a Surveillance Plan (i.e., verification of committed remedial and corrective action).

5.1.3 As determined by the WMPO PQM, unscheduled surveillances may be conducted.



**QUALITY MANAGEMENT PROCEDURE**

Title

SURVEILLANCES

No. QMP-18-02 Rev. 1

Effective Date 5/27/88

Page 3 of 7

**5.2 PERFORMANCE**

5.2.1 Personnel performing surveillances of QA Level I or II activities shall have, as a minimum, indoctrination and training as set forth in QMP-02-01.

5.2.2 Prior to performing the surveillance the respective organization's management should be made cognizant of the surveillance. Unannounced surveillances may be performed at the discretion of the WMPO PQM.

5.2.3 The surveillance shall be conducted by using appropriate documents and any other information deemed necessary to ensure a meaningful surveillance.

5.2.4. The surveillance team for a scientific investigation shall consist of one or more qualified technical individuals and one or more QA personnel who are familiar with the plan for the scientific investigation.

5.2.5 Upon completion of a surveillance activity surveillance personnel shall brief the cognizant organization's management of results, including any deficiencies that were identified during the course of the surveillance.

5.2.6 A Standard Deficiency Report (SDR) shall be generated in accordance with QMP-16-03, Standard Deficiency Reporting System, for each deficiency observed during the surveillance.

5.2.7 Hardware deficiencies discovered as a result of a surveillance shall be documented by surveillance personnel on a WMPO NCR which shall be processed in accordance with QMP-15-01, Control of Nonconformances.

5.2.8 A weakness in a QA program discovered as a result of a surveillance shall be documented as an observation and submitted with the surveillance report. A response is required within 25 working days.

**5.3 REPORTING**

5.3.1 Surveillance personnel shall initiate a surveillance report by obtaining a report number from the QA engineer responsible for maintaining the NNWSI Project Surveillance Report Status Log. A sequential list of surveillance report (SR) numbers shall be maintained by the WMPO QA Organization and shall be issued using the following numbering system:

WMPO-SR-88-001

- a. Project.....WMPO
- b. Surveillance Report.....SR
- c. Current Fiscal Year.....88
- d. Sequential, in order of assignment.....001

**QUALITY MANAGEMENT PROCEDURE**

Title

SURVEILLANCES

No. QMP-18-02 Rev. 1

Effective Date 5/27/88

Page 4 of 7

5.3.2 The surveillance report shall be prepared and signed by the individual(s) who performed the surveillance. Resultant deficiency related documents (SDRs and WMPPO NCRs) shall be issued prior to the surveillance report. The SDRs and WMPPO NCRs shall be listed in the surveillance report with copies attached for information only.

5.3.2.1 The surveillance report shall be submitted to the WMPPO PQM for review, approval, and issuance.

5.3.3 After review and approval by the WMPPO PQM, copies of each report shall be distributed to the appropriate individuals/organizations.

5.3.4 As a minimum, surveillance reports shall identify the following:

1. Date of surveillance.
2. Name of individual(s) performing the surveillance.
3. Identification of the organization(s), activities, or items surveilled, including the name(s) of personnel contacted.
4. Description of deficiencies, nonconformances, and potential quality problems identified during the surveillance.

**6.0 REFERENCES\***

WMPPO/88-1, WMPPO Quality Assurance Program Plan.

QMP-02-01, Indoctrination and Training of Personnel Performing Quality Related Activities.

QMP-15-01, Control of Nonconformances.

QMP-16-03, Standard Deficiency Reporting System.

QMP-17-01, Quality Assurance Records.

\*Latest Revision

**7.0 FIGURES**

Figure 1 - NNWSI Project Surveillance Report Status Log.

Figure 2 - Surveillance Checklist.



**QUALITY MANAGEMENT PROCEDURE**

Title

SURVEILLANCES

No. QMP-18-02

Rev. 1

Effective Date 5/27/88

Page 5 of 7

**8.0 QA RECORDS**

The following documents resulting from the implementation of this procedure shall be designated as QA Records and shall be processed and maintained in accordance with QMP-17-01, Quality Assurance Records:

1. Surveillance Schedules, Plans, and Checklists.
2. Surveillance Reports.
3. WMPO Nonconformance Reports.
4. Standard Deficiency Reports.
5. Responses to observations and related documentation.



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016  
7/87

Title

SURVEILLANCES

No. QMP-18-02

Rev. 1

Effective Date 5/27/88

Page 6 of 7



NNWSI PROJECT  
SURVEILLANCE REPORT STATUS LOG

N-QA-055  
2/88

WMPO- SR-87- Number	Program/Project/Activity	Location	Date	Nonconformance/ Standard Deficiency Report Reported		Report Issued	
				Yes	No	By	Date

Figure 1 - NNWSI Project Surveillance Report Status Log



# QUALITY MANAGEMENT PROCEDURE

Title  SURVEILLANCES	No. <b>QMP-18-02</b>	Rev. <b>1</b>
	Effective Date <b>5/27/88</b>	
	Page <b>7</b> of <b>7</b>	

SURVEILLANCE CHECKLIST			N-QA-054 2/88
Surveillance Checklist No. _____ Surveillance No. _____ Page _____ of _____			
CHARACTERISTICS	RESULTS		OBJECTIVE EVIDENCE/REPORTS
	SAT.	UNSAT.	

Figure 2 - Surveillance Checklist

DOCUMENT TRANSMITTAL RECORD

N-QA-022  
11/87

PLEASE SIGN AND RETURN BY 6-13-88 Transmittal Date 5-27-88  
 TO Name SEE DISTRIBUTION LIST Organization SEE DIST.  
 FROM Name Document Control Organization SAIC  
 Document Title WMPO QUALITY ASSURANCE PROGRAM PLAN, WMPO/88-1 Copy No. SEE DIST.

ADD. DELETE. OR REPLACE AS DIRECTED:

- REMOVE - Old WMPO QMP Table of Contents (1 page) dated 5/5/88.
  - INSERT - Updated WMPO QMP Table of Contents (2 pages) dated 5/27/88.
  - REMOVE - QMP-01-01, WMPO Organization, Rev. 0, (12 pages) from behind Tab 1.
  - INSERT - QMP-01-01, WMPO Organization, Rev. 1, (23 pages) behind Tab 1.
  - INSERT - QMP-05-02, Preparation And Control of Branch Technical Procedures, Rev. 0, (8 pages) after the last page of QMP-05-01, which is located behind Tab 5.
  - INSERT - QMP-05-03, Preparation And Control Of The NNWSI Project QAP And The WMPO QAPP, Rev. 0, (10 pages) after the last page of QMP-05-02.
  - REMOVE - QMP-15-01, Nonconformance Control, Rev. 0, (4 pages) from behind Tab 15.
  - INSERT - QMP-15-01, Control Of Nonconformances, Rev. 1, (14 pages) behind Tab 15.
  - REMOVE - QMP-16-02, Trend Analysis, Rev. 1, (4 pages) from section marked by Tab 16.
  - INSERT - QMP-16-02, Tend Analysis, Rev. 2, (8 pages) at section marked by Tab 16.
  - REMOVE - QMP-18-02, Surveillance, Rev. 0, (7 pages) from behind blank Tab at the back of the WMPO document.
  - INSERT - QMP-18-02, Surveillance, Rev. 1, (7 pages) behind blank Tab at the back of the WMPO document.
- Please sign to indicate that the above instructions have been complied with and return transmittal to address listed below:

Signature \_\_\_\_\_ Date \_\_\_\_\_

Comments \_\_\_\_\_

RETURN TO

Science Applications International Corporation  
 Information Management Division  
 101 Convention Center Drive, Suite 407  
 Mail Stop 517  
 Las Vegas, NV 89109

Title of Document(s) Destroyed \_\_\_\_\_

By \_\_\_\_\_ Date \_\_\_\_\_

WMPO Quality Management Procedures (QMPs)

Table of Contents

QMP No.	ICN No.	QMP Title	Revision No.
QMP-01-01		WMPO Organization	1
QMP-01-02		Stop Work	0
QMP-02-01		Indoctrination and Training	0
QMP-02-02		Qualification of Quality Assurance Audit Personnel	1
QMP-02-06		Assignment of QA Levels	In Preparation
QMP-03-01		Peer Review	0
QMP-03-02		Scientific Investigation	In Preparation
QMP-03-03		Use and Control of Computer Programs	To be Developed
QMP-03-04		Software Development and Maintenance	To be Developed
QMP-03-06		Verification and Validation of Computer Programs	To be Developed
QMP-04-01		Procurement Document Control	0
QMP-05-01		Preparation and Control of Quality Management Procedures	1
QMP-05-02		Preparation and Control of Branch Technical Procedures	0
QMP-05-03		Preparation and Control of the NNWSI Project QAP and the WMPO QAPP	0
QMP-06-02		Document Control	In Preparation
QMP-06-03	1	Document Review/Acceptance/Approval	1
QMP-07-03		Control of Purchased Items and Services	0
QMP-07-04		Supplier Surveys	To be Developed



QMP-15-01	Control of Nonconformances	1
QMP-15-02	Unusual Occurrences	In Preparation
QMP-16-01	Corrective Action	0
QMP-16-02	Trend Analysis	2
QMP-16-03	Standard Deficiency Reporting System	0
QMP-17-01	QA Records	In Preparation
QMP-18-01	Audit System for the Waste Management Project Office	2
QMP-18-02	Surveillances	1

Date: May 27, 1988