

DCS

Center for Nuclear Waste Regulatory Analyses

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January 28, 1991
Contract No. NRC-02-88-005
Account No. 20-3702-042

U. S. Nuclear Regulatory Commission
Attn: Ms. Sharon D. Mearse,
Contract Administrator
Div. of Contracts and Property Management
7920 Norfolk Avenue (Mail P-902)
Bethesda, MD 20814

Subject: Transmittal of Draft Report on the January 1991 NRC/DOE Meeting on
Quality Assurance

Reference: Center Quality Assurance Element Operations Plan Task 2, "Trip
Report for the NRC/DOE Meeting on Quality Assurance," identified as
a Recurring Intermediate Milestone in Project 20-3702-042

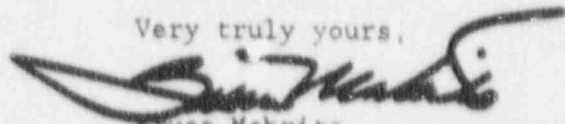
Dear Ms. Mearse:

In a separate mailing, copies of the subject report were transmitted according
to the requirements of Contract No. NRC-02-88-005. This External Quality
Assurance Element Operations Plan Task 2 activity is identified as IM 20-3702-
042-020-001 in the Center Commitment Control Log.

Copies of the trip report on the NRC/DOE bimonthly QA meeting were shipped to the
Program Manager, Mr. J. Funches, S. Fortuna, B. Stiltenspole, K. Hooks and J.
Conway.

Please contact Bruce Mabrito (512) 522-5149 in the event of any questions.

Very truly yours,



Bruce Mabrito
Director of Quality Assurance

BEM/mag
F:\BEM\triprpt.ltr
cc: J. Funches ✓
K. Hooks
S. Fortuna
B. Stiltenspole
CNWRA Directors
CNWRA Element Managers
S. Rowe (SwRI)



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PDR WASTE
WM-11 PDR

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WM-11
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CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES

TRIP REPORT

SUBJECT: NRC/DOE Meeting on Quality Assurance

DATE AND PLACE: January 18, 1991
U.S. Nuclear Regulatory Commission
White Flint Offices

AUTHOR: R. D. Brient

DISTRIBUTION:

CNWRA:

J. Latz
CNWRA Directors
CNWRA Element Managers

NRC: (w/o attachments)

S. Mearse
J. Funches ✓
S. Fortuna
B. Stiltenspole
J. Conway
K. Hooks

SwRI:

T. Trbovich (CC30)
S. Rowe/Contracts (20-3702-042)

TRIP REPORT

SUBJECT: NRC/DOE Meeting on Quality Assurance

MEMORANDUM FOR: Center Directors/Element Managers

DATE: January 18, 1991

PLACE: U.S. Nuclear Regulatory Commission
White Flint Offices

PERSONS PRESENT: A list of attendees is attached.

SUMMARY OF PERTINENT POINTS:

- 1) This was one of the periodic meetings sponsored by NRC, which provide opportunities for coordination between NRC and DOE QA functions. Standard agenda items include discussion of open items, update on audit/surveillance schedules, and items of concern from the State of Nevada and affected local governments.
- 2) Special presentations were provided on the topics of the DOE Management System Improvement Strategy, the Raytheon QA Transition Plan, Root Cause Determination, QA Records, and Revamping Audits.

BACKGROUND/PURPOSE OF TRIP:

The purpose of this trip was to provide the Center with first-hand experience and participation in the meeting to anticipate and plan for Center external QA activities. The contact with the NRC QA staff also allowed discussion of Center internal QA activities.

SUMMARY OF ACTIVITIES:

The attached agenda, with hand written modifications was followed. The individual agenda items are discussed as follows in their order of presentation.

1) Dwight Shelor, a director at DOE HQ, gave a presentation on the Management System Improvement Strategy, which is being implemented within DOE as a product of John Bartlett's 11/89 initiative. The overall strategy includes updating the mission plan, reorganizing, developing personnel resources, and establishing a quality management system. The desired result is integrated, program wide technical and management system processes and procedures. Mr. Shelor explained the systems engineering methods used and to be used, and the use of "system architecture."

2) Jim Blaylock of the DOE YMPO QA staff explained the difference between technical reviews, which are line responsibilities, and the technical portions of audits, which are QA responsibilities. Basically, the two are independent, and cannot be interchanged as quality verification activities. The technical audit activities are not to the depth of technical reviews, and have a purpose

of providing early input to the participant regarding their approaches to technical activities.

3) The DOE HQ Surveillance Schedule update was distributed (see attachment). Changes to the DOE audit schedule include Los Alamos, the week of March 25 (from 3/18), and Livermore, the week of June 3 (from January 28). The Center can be anticipated to support both of these.

4) Raytheon Services Nevada was awarded the contract for activities previously performed by Holmes and Narver and Fenix and Scission. Mike Regenda, QA Manager, explained how their QA program is being transitioned from those of H&N and F&S. Basically, activities will continue to be controlled by the same QA program as before the consolidation until a new program is accepted.

5) The update of NRC observation reports and of oper. items is attached. No outstanding items were identified.

6) Don Horton, DOE QA Director, discussed root cause determination methods. This was initiated by NRC observations that these determinations have appeared superficial in some cases. Horton indicated that auditor training is planned that includes root cause analysis, and will be available to participants.

7) An attached handout lists the QA records that the DOE has identified. The main issue in this discussion was the omission of completed audit checklists as QA records. DOE maintains that audit reports document the content of the checklists sufficiently. The State of Nevada representative, S. Zimmerman, requested that the State be provided the checklists. Horton did not seem predisposed to honoring her request, and will probably pass it upstairs. The issue did not appear totally resolved.

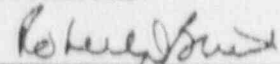
8) Don Horton also spoke about revamping audits into several smaller audits of a participant (related criteria or related activities) rather than a single large audit. It appeared that surveillances, which are more like mini-audits, may be reduced. The Clark County representative expressed a preference for single audits as better able to determine the overall effectiveness of a QA program.

9) The State and affected local governments did not identify any particular items of concern, and the meeting was adjourned. The next meeting was tentatively set for March 7, 1991.

IMPRESSIONS/CONCLUSIONS:

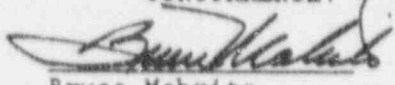
The meeting was beneficial to the Center in being able to plan for external QA activities, and for clarification of certain points on a more timely basis. The cooperation afforded by these meetings seems valuable to NRC, DOE, Nevada, and the local governments.

SIGNATURE:


Robert D. Brient

1/22/91
Date

CONCURRENCE:


Bruce Mabrito

1/22/91
Date

(1-18-91)

ATTENDANCE FOR NRC/DOE MEETING ON QA

<u>NAME</u>	<u>ORGANIZATION</u>	<u>PHONE</u>
John Buckley	NRC	492-0517
Bill. Belke	NRC	492-0445
E.V. TIESSENHAUSEN	CCCF	702 455-5184
Jim Blacklock	DOE	544-7913
Phillip A. Nielechki-Eichler	Nye County	703-819-2434
Susan Zimmerman	State of NV	702-687-3744
Connie Macaluso	DOE	202-586-2832
Bob Clark	DOE	202-586-1238
Don Horton	DOE	202-586-8858
Steve Schultz	Winston & Strawn	202 371-5777
GORDON ERIKSEN	PDC (EM-343)	301-601-9087
LARRY VAUGHAN	DOE EM-20	202 586-2523
Sharon Skucko	DOE - RW-331	202 586-4590
Tom Colandrea	E EI - U WASTE	619-487-7510
MICHAEL J. REGENDA	RAYTHEON SERVICES NEVADA	702-794-7226
Tilak Verma	NRC/DHLWM	(301)492-3465
Ray Wallace	USGS-HQ/DOE-HQ	(202) 586-1244
Jim Conway	NRC	(301)492-0453
Bob Brient	NRC/CNWRA	(512)522-5537
Kenneth R Hooks	NRC	(301)492-0447
King Stabilein	NRC/DHLWM	(301)-492-0446

United States Government

Department of Energy

memorandum

DATE

JAN 07 1991

REPLY TO
ATTN OF

RW-3

SUBJECT

OCRWM HQ FY 91 Surveillance Schedule (Revision 1) to Second Quarter Update

TO

Director, Office of Strategic Planning and International Programs, RW-4
Director, Office of External Relations, RW-5
Associate Director, Office of Program and Resources Management, RW-10
Associate Director, Office of Geologic Disposal, RW-20
Associate Director, Office of Systems and Compliance, RW-30
Associate Director, Office of Storage and Transportation, RW-40
Associate Director, Office of Contract Business Management, RW-50

Attached for your information is Revision 1 of the second quarter update to the OCRWM HQ FY 91 Surveillance Schedule.

This revision is being issued to revise the date originally assigned to the surveillance of Indoctrination and Training (Criterion II). It was originally scheduled to be performed during February 28-30. The date was changed to February 26-28. Also, another surveillance has been scheduled to review activities pertaining to Corrective Action (Criterion XVI). This additional surveillance has been scheduled for April 22-26.

Additional surveillances may be performed as activities dictate. If you have any questions, please call Bob Clark at (202) 586-1238 or FTS 896-1238.



Donald G. Horton, Acting Director
Office of Quality Assurance

Attachment

cc:

F. Peters, RW-2
J. Blaylock, YMSCPO
M. Meyer, CER
J. Marchand, Weston

OCRWM HQ FY 91 SURVEILLANCE SCHEDULE (2nd QUARTER UPDATE)
(Revision 1)

<u>SURVEILLING ORGANIZATION</u>	<u>ORGANIZATION TO BE SURVEILLED</u>	<u>ACTIVITY TO BE SURVEILLED</u>	<u>SURVEILLANCE DATE</u>	<u>LOCATION</u>	<u>SURVEILLANCE PERSONNEL</u>
OCRWM-HQ	OCRWM-HQ	Preparation, Review and Approval of Technical Documents (Criteria III & V) (functional Analysis Mgmt. Plans)	01/22/91 - 01/25/91	WASH., D.C.	R. SCHAFFER *C. HUGHEY
OCRWM-HQ	OCRWM-HQ	Change Control Process (Criterion III)	02/04/91 - 02/06/91	WASH., D.C.	B. RESNICK *CER
OCRWM-HQ	OCRWM-HQ	Indoctrination/Training and Personnel qualification (Criterion II) - MRS and Transportation Personnel Activities	02/26/91 - 02/28/91	WASH., D.C.	*S. SMITH *K. MUTREJA
OCRWM-HQ	OCRWM-HQ	QA Records - organization and control (Criterion XVII)	03/05/91 - 03/07/91	WASH., D.C.	*K. MUTREJA R. SCHAFFER
OCRWM-HQ	OCRWM-HQ	Control and Distribution of QA Program Documents (Criterion VI)	03/19/91 - 03/21/91	WASH., D.C.	*WESTON
OCRWM-HQ	OCRWM-HQ	Preparation, Review, and Approval of QA Program Documents (Criterion V) - WMSR Vol. 4, Rev. 1	04/09/91 - 04/11/91	WASH., D.C.	*CER
OCRWM-HQ	OCRWM-HQ	Corrective Action (Criterion XVI)	04/22/90 04/26/90	WASH., D.C.	*CER S. SMITH
OCRWM-HQ	OCRWM-HQ	Preparation and Review of QAAPs & ILPs (Criterion V)	05/07/91 - 05/09/91	WASH., D.C.	*WESTON
OCRWM-HQ	OCRWM-HQ	Implementation of Functional Analysis Management Plans (Criterion III)	06/03/91 - 06/07/91	WASH., D.C.	*W. MARCHAND CER
OCRWM-HQ	OCRWM-HQ	Implementation of the QA Audit & Surveillance Program (Criterion XVIII)	09/02/91 - 09/06/91	WASH., D.C.	*R. SCHAFFER CER

* LEAD

AGENDA

JANUARY 18, 1991, NRC/DOE MEETING ON QUALITY ASSURANCE

9:00 a.m.	Introductory Remarks	
	U.S. Nuclear Regulatory Commission (NRC) <i>None</i>	
	U.S. Department of Energy (DOE) <i>None</i>	
	State of Nevada (NV) <i>None</i>	
	Affected Units of Local Government (LG) <i>None</i>	
9:25 ^{9:25} a.m.	Relationship between Technical Portion of Audits and Formal, In-depth Technical Review of YMP Documents	DOE
	<i>J. Foley Lock YMP</i>	
9:40 ^{10:20} a.m.	Update on Audit/Surveillance Schedule	DOE
	<i>B. Clark - NV</i>	
9:55 a.m.	BREAK	
10:15 a.m.	Raytheon QA Transition Plan	DOE
	<i>Mike Reynolds - Group. R. Patton</i>	
10:40 ^{10:40} a.m.	NRC/NV/LG Update on Recent Audits/Surveillances	NRC/NV/LG <i>See on March / No / -</i>
11:00 ^{10:50} a.m.	QA Open Items	NRC/DOE
	<i>Bill Burke</i>	
11:20 ^{11:00} a.m.	Root Cause Determination	DOE
	<i>Don Horton -</i>	
12:00 p.m.	LUNCH	
11:00 ^{11:00} a.m.	QA Records	DOE
	<i>Don Horton (see memo)</i>	
11:20 ^{11:20} a.m.	Revamping Audits	DOE
	<i>Don Horton</i>	
1:40 ^{1:40} p.m.	Management System Improvement Strategy	DOE
	<i>Dwight Shelton - DOE WA</i>	
2:00 p.m.	Items of Concern to the State of Nevada	NV
	<i>Susan Zimmerman</i>	
2:15 p.m.	Items of Concern to Local Governments	LG
	<i>Mye / Clark</i>	
2:30 p.m.	Closing Remarks	All
	<i>Don't miss meeting - 1st week of March (7th?)</i>	
2:45 p.m.	Adjournment	

ENCLOSURE

NRC OBSERVATION AUDIT OF SANDIA NATIONAL LABORATORIES
QUALITY ASSURANCE PROGRAM

The U.S. Nuclear Regulatory Commission (NRC) staff observed the U.S. Department of Energy (DOE)/Yucca Mountain Project Office (YMPO) Quality Assurance (QA) Audit No. 90-04 of Sandia National Laboratories (SNL) conducted in Albuquerque, New Mexico from August 20-24, 1990.

The NRC staff has determined that DOE/YMPO Audit No. 90-04 of SNL was useful and effective for the limited amount of work being conducted under the QA program. The audit was conducted in a professional manner and the programmatic and technical portions of the audit were generally effective and well integrated. The audit team was well qualified in the QA and technical disciplines, and their assignments and checklist items were adequately described in the audit plan.

The NRC staff agrees with the preliminary DOE/YMPO audit team findings that SNL generally has an adequate QA program for the areas that were audited, with the exception that certain criteria remain indeterminate due to limited implementation or limited effectiveness of implementation. The results of Audit 90-04 support the conclusion of our October 24, 1990 letter (Linehan to Shelor) that the SNL QA program is acceptable for implementation of new site characterization activities for the Yucca Mountain Project (YMP).

Two Observations were noted by the NRC staff. The first was that the audit checklist did not contain provisions to verify whether allegations concerning inadequate quality were being resolved in accordance with YMP Administrative Procedure AP-5.8Q. The second Observation concerned retention of surveillance checklists as quality assurance records. These Observations are of a generic YMP nature and do not impact our conclusions concerning DOE Audit 90-04 of SNL.

DOE should monitor the SNL program to ensure that future implementation is carried out in an adequate manner. The NRC staff expects to participate in this monitoring as observers and may perform its own independent audit at a later date to assess the adequacy and effectiveness of the SNL QA program.

(a) Observations

- The SNL QAPP contains provisions for resolving concerns regarding inadequate quality in accordance with YMP Administrative Procedure AP-5.8Q, "Resolution and Reporting of Quality Concerns." This procedure has not been developed by DOE and implemented by DOE and its program participants. NRC will carry this as an open item on the NRC/DOE Open Items List until this procedure is developed and implemented (Level 2).

- During the audit of Criteria 10 and 18, there was a discussion of whether audit and surveillance checklists are considered QA records. It was the NRC staff's understanding during the review and commitments described in Section 17 of the NNWSI 88-9 Project QA Plan, that all records would include audit and surveillance checklists. This subject was discussed at the September 18, 1990 NRC/DOE QA meeting and will be further discussed at the next NRC/DOE QA meeting in November 1990. This will be carried as an open item on the NRC/DOE Open Items List until clarification is obtained to define what types of QA records will be retained (Level 3).

(b) Weaknesses

- Although the education, experience, and training records were available for auditing, detailed job responsibilities and duties were non-existent. The NRC staff believes this type of information could be easily available as this information appears in the job postings published in the Sandia Labs Weekly Bulletin.
- Corrective Action Reports need to be more carefully examined to assure the cause of a nonconforming condition addresses the "root cause."
- The NRC staff believes that it would enhance their review of the audit scope if the technical areas which have ongoing quality-related work, and those being considered for inclusion in the audit, are identified to the NRC at least twenty working days in advance of the start of the audit. The NRC staff typically receive the audit announcement letter and Audit Books too late to make meaningful comments on the technical scope of the audit.
- The NRC staff believes that DOE/YMPO should include in the audit scope, any technical area in which significant quality-related work is being accomplished, or provide a rationale for choosing not to include such work. Since the NRC staff is unable to participate in many DOE/YMPO surveillances, the inclusion of significant technical activities in the annual audits is important to the NRC staff's ability to evaluate implementation of the audited QA program.

NRC SURVEILLANCE OBSERVATION OF THE SANDIA NATIONAL LABORATORIES
QUALITY ASSURANCE PROGRAM FOR ESF ALTERNATIVES STUDY

(Following on Audit 90-04)

From September 4-7, 1990 the U.S. Nuclear Regulatory Commission (NRC) staff observed the U.S. Department of Energy (DOE)/Yucca Mountain Project Office (YMPO) Quality Assurance (QA) surveillance of Sandia National Laboratories (SNL) Yucca Mountain Project (YMP) QA program conducted at SNL in Albuquerque, New Mexico. The surveillance was a continuation of the review of the Exploratory Shaft Facility (ESF) Alternatives Study begun during Audit 90-04, August 20-24, 1990.

The surveillance team was familiar with the SNL QA program procedures being implemented. Their checklists for this surveillance were well prepared and were effectively utilized in determining the status and effectiveness of program implementation. The team had good knowledge of the requirements of Nevada Nuclear Waste Storage Investigations Quality Assurance Plan (NNWSI/88-9) and the SNL/YMP QA Program. The NRC staff found the DOE/YMPO surveillance to be generally useful and effective.

The NRC staff notes that the DOE/YMPO surveillance mainly evaluated SNL's effectiveness in implementing procedures; while the surveillance team technical specialists performed a limited review of the technical adequacy of some portions of the ESF Alternatives Study, the surveillance team made no evaluation of the technical acceptability of the overall ESF Alternatives Study, which is still under development. Due to the limited nature of the surveillance, the NRC staff made no determination concerning the technical adequacy of the SNL procedures or the ESF Alternatives Study.

U. S. NUCLEAR REGULATORY COMMISSION
OBSERVATION AUDIT REPORT NO. 90-8
FOR THE YUCCA MOUNTAIN PROJECT OFFICE
AUDIT NO. 90-07 OF FENIX AND SCISSON OF NEVADA

Summary of NRC Staff Findings

(a) Observations

- The NRC staff did not identify any observations relating to deficiencies in either the DOE/YMPO audit process or the FSN QA program.

(b) Weaknesses

- Audit preparation by the audit team should be revised to examine the "scoping issue" as to why extraneous audit checklist items (e.g., SWD, RR, NDE and CAR) were included in the audit when no work or activities had occurred in these areas since the last audit in April 1989.
- There is a commitment in the 88-9 QA Plan for the YMPO to perform annual audits, but this limited scope audit of FSN was conducted approximately 17 months after the last YMPO audit of FSN.
- The independence of the technical specialist as it pertained to the review of Study Plan 8.3.1.14.2.x is questionable.
- Two FSN individuals who were primarily responsible for the ESF Alternative Study were not available to provide needed information for the audit.
- Although DOE has verbally agreed to evaluate earlier observations, the DOE audit procedure(s) does not explicitly require that previous NRC and State of Nevada findings be reviewed to determine the scope of the audit.
- Access to personnel qualifications was not permitted due to the Privacy Act limitations.
- The effectiveness of computer software controls could not be determined due to a lack of implementation of technical activities under the software procedures which were only recently approved.

(c) Good Practices

- Improved performance in coordinating the QA programmatic and technical evaluations simultaneously to allow the integration of these two aspects of the audit.
- The audit team was well prepared and conducted a thorough audit in a professional manner.

*** BRACKETED PORTIONS INDICATE CHANGES RESULTING FROM
11/8/90 QA MEETING OR ADDED AS A RESULT OF NRC REVIEW

EM	DESCRIPTION	STATUS	RECOMMENDATION FOR CLOSURE/REMARKS
140 30) QA-1-1 1) QA-F-2 1) QA-F-3	DOE Waste Glass QA Program	Closed	<p>NRC staff has received Rev. 3 of the QARD which addresses the staff's comments on OGR B-14. The DOE responses have been evaluated and found acceptable by the NRC staff. DOE will be developing a draft position on OCRWM/NRC overview/verification activities. Development of a Memorandum of Understanding (MOU) among DOE-RW, NE, and NE is in question as the idea of an MOU has not been settled among the 3 DOE offices. At the 11/8/90 QA meeting, DOE provided a memorandum (Bartlett to Acting Director, Office of Environmental Restoration and Waste Management, 10/29/90) stating the OCRWM position on the overview/verification activities.</p>
290 30) QA-1-1 1) QA-F-2 1) QA-F-3	YMP Q-List and QA Measures	Closed	<p>DOE should meet with NRC to discuss and resolve concerns related to Q-List for the YMP and ESE conceptual design. At the 11/8/90 QA meeting, DOE provided Q-List and related material for NRC review. (Desell to Linehan dated 10/31/90). NRC will notify DOE of any issues that require further discussion.</p>
390 30) QA-1-1 1) QA-F-2 1) QA-F-3	NNWSI Core Handling Procedures	Open	DOE submitted the Core Handling procedures to the NRC staff in a

8/11/89 transmittal (Gertz to Stein). The issues raised in the YMP Surveillance Report (YMP-SR-89-134) will need to be resolved before this item can be closed. NRC will determine acceptability of implementation and adequacy of procedures when they are issued in final form and subsequently implemented.

At the 11/8/90 QA meeting, DOE indicated that based on the prototype drilling at Apache Leap, the procedures have been revised and should be submitted for NRC review and comment before the end of 1990. - No Programs

1-90
QA-A-1
QA-B-1d (1)
QA-G-3
QA-G-4
QA-G-5

Qualified QA Program before start of new site characterization activities.

Open

DOE has made a commitment to having a qualified QA program before the start of new site characterization activities. However, this item remains open up until the the NRC staff accepts the DOE QA program as qualified for the start of new site characterization activities.

At the 11/8/90 QA meeting, NRC provided a letter (Linehan to Shelor dated 10/4/90) which addresses the acceptance of (6) participants QA programs with the exception of LANL. NRC indicated that the QARP/QAPD acceptance letter is being finalized. NRC will also need clarification from DOE on the review and acceptance status of the recent T&MSS and Raytheon participant QA programs.

5-90
Definitions for Conceptual, Title I, II, & III Design.

Closed (2/15/90 QA Mtg.)

6-90
Access to Project Participant's personnel files.

Closed

At the 11/8/90 QA meeting, DOE provided a letter (Desell to Linehan dated 11/2/90). The letter states that in accordance with Federal Register Notice 56 ER 32288-32290, DOE System DOE-80 will be implemented to close Open Item 6-90.

8-90
790
A-1

Qualification of Existing Data

Closed

A 10/31/90 transmittal (Desell to Linehan) provided AP-5.9Q, "Qualification of Data Analyses Not Developed Under The YMP QA Plan". NRC will review this AP and provide comments to DOE.

8-91
-90

SCA comments

Open

DOE should provide a response to the 7/31/89 NRC SCA QA comments on the DOE SCP.

9-90
-90

DOE response (Stein to Youngblood dated 12/28/88) to 7 NRC concerns for DOE Audit 88-01 of PNL

Closed

DOE letter (Appel to Linehan dated 8/10/89) provided responses.

10-90
0-90
A-G-1
& d

Responses to NRC Observation Audits

DOE should respond within 30 days after NRC Observation Audit Report transmittal. The DOE responses are to be reviewed and considered by NRC staff in accepting DOE QA programs. DOE should respond to the following NRC staff Observation Audit Reports:

10a
0.a

Holmes & Narver
S89-1, 11/1-4/89

Closed

DOE letter (Appel to Linehan dated 6/13/89) provided responses.

10b
0.b

Holmes & Narver
89-2, 4/24-28/89

Closed

(2/15/90 QA Mtg.)

0.c
0.c

Sandia Ntl. Lab.
89-3, 9/11-15/89

Closed

(2/15/90 QA Mtg.)

0.d

Sandia Ntl. Lab.

Open

(2) Observations:
* Resolution of allegations concerning inadequate quality per AP-5.8Q.
* Retention of audit and surveillance checklists as QA records.

1-90
11-90

DOE QA Participants Acceptance Letter Dated 10/24/90

Open

DOE should provide a response to the open items for the following DOE participants QA programs:

FSN - Procurement
Software

H&N - Procurement
Software

REECo - Privacy Act

USGS - Privacy Act

1-90

12-90

DOE QAR/QAPD
Acceptance Letter
Dated 12/3/90

Open

DOE should provide a response
to the (6) open items listed for
the NRC review of the QAR/QAPD.

on today's agenda.

YUCCA MOUNTAIN PROJECT QA RECORDS

Don Houston

PROCUREMENT REQUEST PACKAGES

- Procurement Requests
- Specifications
- Drawings
- Cover Letters
- Notice to Proceed With Contracts
- Executed Agreements
- Memos Approving Executed Agreements

PROCUREMENT JOB PACKAGES

- Job Package Initiation Form
- Job Package Outline
- Project Field Work Activation
- Notice to Proceed
- Cover Letters

OTHER PROCUREMENT DOCUMENTATION

- Signature Authentication List
- Record Source Transmittal Form
- Record Package Table of Content
- Record Source List of Records
- Qualification Evaluation form
- Proficiency Evaluation Form
- Familiarization Program Form

DOCUMENT REVIEW PACKAGE

- Request Form
- Review Transmittal
- Draft Document
- Initial Document Review Sheets (DRS)
- Review Criteria, Reference Material
- Comment Verification Transmittal
- Resolved Draft Document
- Comment Resolved DRS
- Initial Verification DRS
- Reverification Transmittal
- Resolved/Rewritten Draft Document
- Comment Resolved DRS
- Dispute Resolution Documentation
- Extension of Review Transmittal
- Approval Transmittal/Letter
- Final Document

DOCUMENT REVIEW PACKAGES (Continued)

- Completed DRS
- Resubmittal for Approval Transmittal/Letter
- Final Document
- Completed DRS
- Cancellation of Review Transmittal
- Incomplete DRS as Documentation
- Late DRS to File for Next Revision
- Additional Project Office DRS
- Approved/Issued Document
- Supplemental Post-Issuance Documentation
- Various Documentation Statements
- Record Package Transmittal Form

DOCUMENT REVIEW-RELATED RECORD ELEMENTS OF TERMINATED RECORD PACKAGES

- Request Form
- Review Transmittal
- Draft Document
- Initial Document Review Sheets (DRS)
- Review Criteria, Reference Material
- Comment Verification Transmittal
- Resolved Draft Document
- Comment Resolved DRS
- Initial Verification DRS
- Reverification Transmittal
- Resolve/Rewritten Draft Document
- Comment Resolved DRS
- Dispute Resolution Documentation
- Extension of Review Transmittal
- Approval Transmittal/Letter
- Final Document
- Completed DRS
- Cancellation of Review Transmittal
- Resubmittal for Approval Transmittal/Letter
- Final Document
- Completed DRS
- Incomplete DRS as Documentation
- Late DRS to File for Next Revision
- Additional Project Office DRS
- Approved/Issued Document
- Supplemental Post-Issuance Documentation
- Various Documentation Statements
- Record Package Transmittal Form

MACTEC TRAINING FILES

- Class Attendance (N-AD-043)
- MACTEC Reading Assignments
- Verification of Work Experience and Education
- Qualification Evaluation Form (N-AD-069)
- Proficiency Evaluation Form (N-AD-068)
- Indoctrination and Training Form
- Training Waiver (Y-AD-001)
- Special Training Assignments (N-AD-077)
- YMPO/T&MSS Training Assignments (N-AD-076)
- Instructor Qualification (N-AD-078)

ASSESSMENT TEAM RECORDS

- Assessment Team List of Bases Information
- Q-List
- Quality Activity List
- Project Requirements List
- Analysis/Evaluation Packages

QRB RECORDS

- Completed Quality Assurance Grading Report Form
- Completed Work Sheet for Evaluation of Characteristics
- Supporting Documentation
- Evidence of Completed QRB Review (letter of acceptance)
- Minutes of QRB Meetings
- Letters of Approval/Disapproval for the Q-List, Quality Activities List, and Project Requirements List
- Letters of Acceptance/Rejection for Quality Activity Grading Reports
- Correspondence Concerning QRB Chairman/Member Actions

QUALITY ASSURANCE DEPARTMENT RECORDS

- Quarterly OCRWM QA Program Status
- Trend Reports
- Completed Observation Forms
- Deficiency Evaluation Request
- Voided CAR
- Audit Schedule
- Completed Approved OCRWM QA
- Requirements Document Matrix
- Reviews of Dispute Resolution (1)
- Project Office NRC Log
- Voided Nonconformance Reports
- Surveillance Report
- Surveillance Report Cover Transmittal Letter
- Audit Report

QUALITY ASSURANCE DEPARTMENT RECORDS (Continued)

- Audit Plan
- Notification Letter
- Pre-Conference and Post-Conference Attendance Record
- CAR/NCR (Information Copies)
- Standard Deficiency Report
- SDR Continuation Sheet
- SDR Severity Level Checklist
- Deficiency Evaluation Requests
- Observation Forms (Information Copies)
- Corrective Action Request Form
- Nonconformance Report Form
- Conditional Releases
- Associated Documentation such as Hold Tags, Technical Justification
- Completed Stop Work Forms
- Documentation of Disputes and Resolution Thereof
- Extension Request Correspondence
- Records of Auditor/Lead Auditor Qualification
- Completed Audit Guides for Technical Specialists
- Record of Audit Participation
- Lead Auditor's Letters of Audit Participation
- Evaluations to Determine Training Needs for Prospective Auditors and Lead Auditors
- Annual Assessment of Auditors and Lead Auditors
- Resumes of Auditors and Lead Auditors
- Training Records Supporting the Qualifications of Auditors and Lead Auditors
- Documentation Relating to the Verification of the Adequacy of Non-WMPO Staff Personnel Qualification Records
- CARs
- CAR Continuation Sheet
- Relevant CAR Correspondence

PROJECT PLANS

- Document Submitted for Review
- Transmittal Letter Initiating Review
- Documentation of Personnel Qualifications
- Comment Resolution Record
- Approved Interim Change Notices
- Approved Revisions of Plan
- Document Review Sheets
- Technical Change Request
- Change Impact Checklists
- Approved Document

SPECIFICATIONS

- Authorization/Assignment Letter
- Draft Specification
- Technical Document Development Criteria
- Document Development/Change/Review/Request
- Document Review Sheets
- Technical Change Request
- Change Impact Request
- Approved Specification
- Interim Change Notice
- Design Correspondence
- Design Inputs
- Analyses
- Drawings
- Specifications
- Approved Changes to the Above
- Evidence of Design Verification Records Confirming Interface Control
- Technical Assessment Review Notice
- Technical Assessment Review Team Selection Board
- Technical Assessment Review Comment Record
- Technical Assessment Review Correspondence
- Peer Review Notice
- Peer Review Team Selection Record
- Peer Review Comment Record
- Peer Review Correspondence

TECHNICAL REQUIREMENTS DOCUMENTS

- Authorization/Assignment Letter
- Technical Document Development Criteria
- Document Development/Change/Review/Request
- Document Review sheets
- Technical Change Request
- Change Impact Checklist
- Approved Document
- Approved Interim Change Notices
- Technical Assessment Review Notice
- Technical Assessment Review Team Selection Board
- Technical Assessment Review Comment Record
- Technical Assessment Review Correspondence
- Peer Review Notice
- Peer Review Team Selection Record
- Peer Review Comment Record
- Peer Review Correspondence Acceptance Packages
- Letter of Transmittal from A/E
- Document Submittal for Acceptance
- Document Development/Change/Review/Request Form
- Document Review Sheets - Comment Resolved
- Disposition of Disputes Documentation, if Applicable

TECHNICAL REQUIREMENTS DOCUMENTS (Continued)

- Letters Transmitting DRSs to A/E for Comment Resolution, if Applicable
- Revised Document, if Applicable
- E&OD Letter of Acceptance

SAFETY ANALYSIS REPORTS

- Technical Assessment Review Notice
- Technical Assessment Review Team Selection Record
- Technical Assessment Review Comment Record
- Technical Assessment Review Correspondence
- Authorization/Assignment Letter
- Technical Document Development Criteria
- Document Development/Change/Review/Request
- Document Review Sheets
- Approved Document

DESIGN PACKAGES

- Authorization/Assignment Letter
- Technical Document Development Criteria
- Document Development/Change/Review/Request
- Document Review Sheets
- Change Impact Checklist
- Approved Document
- Approved Interim Change Notices
- Design Correspondence
- Design Inputs
- Analyses
- Drawings
- Specifications
- Approved Changes to the Above
- Evidence of Design Verification
- Records Confirming Interface Control
- Technical Assessment Review Notice
- Technical Assessment Review Team Selection Board
- Technical Assessment Review Correspondence
- Peer Review Notice
- Peer Review Team Selection Board
- Peer Review Comment Record
- Peer Review Correspondence

DESIGN JOB PACKAGES

- Job Package Cover Letter
- Job Package Initiation Form
- Notice to Proceed
- Approved Job Package

DESIGN JOB PACKAGES

- Job Package Cover Letter
- Job Package Initiation Form
- Notice to Proceed
- Approved Job Package

INTERFACE CONTROL DOCUMENTATION

- CIDs
- Completed Interface Identification Forms
- CRs w/Documentation
- ICDs
- SIDs

CHANGE CONTROL PACKAGES

- Change Request Form and Continuation Sheet
- Documents and Revisions Submitted for Entry into Project CCF Register
- Proposed Distribution and Change Criteria Relative to New documents for Entry into the Project Baseline
- Supporting Documentation
- Change Evaluation (CE) Forms and CE Summary Form
- Change Directive (CD) and Document
- Change Notice (DCN) Forms
- Configuration Audit Reports
- Report of Corrective Actions
- Configuration Audit Progress Reports
- Configuration Audit Status Reports
- Project Change Control Board (CCB) Meeting Minutes
- Project Field Change Control Board (FCCB)
- E&DD Audit Plans, as Applicable

STUDY PLAN DOCUMENTATION

- Transmittal Letter Initiating Project Review
- Study Plan
- Documentation of Personnel Qualifications
- Comment Resolution Record
- Approved Interim Change Notices
- Approved Revisions of the Study Plan
- Records of TPO Approval of and Project Office DDs Concurrence on, Exceptions to Procedure Requirements
- Approved Schedules for Submittals of DRPS to the CRF
- Criteria Letters
- Transmittal Letters Approving Criteria Letters
- Correspondence Relating to Comments and Comment Resolution Relating to Criteria Letters

ALTERNATIVE TO LICENSE APPLICATION STRATEGIES (ATLAS)

Recommended Packages

- Implementation Plan
- Evaluation of Alternatives to the Current License Application Strategies

IMPLEMENTATION PLAN

Review of Priorities for Surface-Based Testing at Yucca Mountain

- Surface Based Test Prioritization (SBT-P)

RECORD MEMORANDUM

- Plan for Risk/Benefit Analysis of Alternative Strategies for Characterizing the Calico Hills Unit at Yucca Mountain

PEER REVIEW OF YUCCA MOUNTAIN PROJECT HYDROLOGY PROGRAM

- Peer Review Record Package
- Peer Review Notice
- Peer Review Plan
- List of Potential Peer Reviewers and Selection Plan
- Peer Review Team Selection Record
- Documentation of Reviewers' Qualifications
- Peer Review Record Memorandum and any Supplements

PEER REVIEW OF SEISMIC PROFILING METHODS

- Peer Review Record Package
- Peer Review Notice
- Peer Review Plan
- List of Potential Peer Reviewers and Selection Plan
- Peer Review Team Selection Record
- Documentation of Reviewers' Qualifications
- Peer Review Record Memorandum and any Supplements