

United States Government

Department of Energy

memorandum

DATE: JAN 21 1986

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ATTN OF: RW-24

'86 JAN 24 11:01

SUBJECT: Quarterly Report of QA Status

TO: William J. Purcell, RW-20

Attached is the report of the progress and current status of quality assurance activities in OGR as required by Section VI.C of the OGR QA Plan. Substantial progress was made in a number of areas during the report period, September through November, 1985. Nine Quality Implementing Procedures (QIP's) were issued in final form. Only one QIP remains to be issued, QIP 4.0, "Procurement Document Control". We have also issued six draft supplements to the OGR QA Plan under the OGR Baseline Change Control procedure. One Quality Assurance Coordinating Group meeting was held. We have also prepared a master schedule of QA audits for OGR projects of their contractors and have made assignments to OGR auditors for their participation in these audits.

We would be happy to provide a briefing on this report or to answer any questions you might have.

Ralph Stein

Ralph Stein, Acting Director
Licensing and Regulatory Division

Attachment: QA Status Report - November 1985

cc w/att:

Jim Kennedy, NRC

WM Docket File

405

WM Project

Docket No.

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QA STATUS REPORT - NOVEMBER 1985

	<u>Date</u>
1. <u>Issue Additional HQ Quality Implementing Procedures</u>	
A. HQ review of project QA Plans and Administrative Procedures QIP 2.0.	Draft 4/8/85* Final 7/26/85* Issued 11/1/85*
B. Indoctrination and Training QIP 2.1	Draft 4/2/85* Final 8/16/85* Issued 11/1/85*
C. Peer Reviews QIP 3.1	Draft 6/21/85* Final 8/6/85* Issued 11/1/85*
D. Document Control QIP 6.0	Draft 6/10/85* Final 8/2/85* Issued 11/1/85*
E. Significant Problem Reporting and Corrective Action QIP 16.0	Draft 4/8/85* Final 7/26/85* Issued 11/1/85*
F. QA Records QIP 17.0	Draft 6/10/85* Final 7/29/85* Issued 11/1/85*
G. Headquarters Review of Project Submitted Audit Reports QIP 18.2	Draft 4/8/85* Final 8/9/85* Issued 11/1/85*
H. Internal Audits QIP 18.4	Draft 4/8/85* Final 7/26/85* Issued 11/1/85*
I. Procurement Document Control QIP 4.0	Draft 8/30/85* Final 11/30/85
2. <u>Target Schedule for Initiation of OGR QA Indoctrination and Training Program.</u>	
A. Draft procedure issued for comment	4/2/85*
B. Final procedure issued	8/16/85*
C. First training session conducted	1/15/86
D. QA auditor training course (SRPO sponsored)	2/15/86
* Denotes Action Complete	

3. Target Schedule for Conduct Internal OGR QA Audits

- | | |
|---|---------|
| A. Send notification letter | 1/20/86 |
| B. Prepare check list | 2/1/86 |
| C. Conduct audit | 2/20/86 |
| D. Audit report issued | 3/20/86 |
| E. Corrective action review | 5/20/86 |
| F. Notification of acceptability of corrective action | 7/15/86 |

4. Audit Project Offices

A. NNWSI

1. Audit Activities

- | | |
|---|-----------|
| o audit notification letter | 2/5/85* |
| o prepare audit check list | 2/19/85* |
| o conduct NNWSI audit | 3/4-7/85* |
| o issue audit report | 3/27/85* |
| o evaluate corrective action responses | 7/1/85* |
| o notify NNWSI of acceptability of corrective action response | 7/31/85* |
| o second response from NNWSI | 10/18/85* |
| o notify NNWSI additional information is required | 11/15/85 |

2. Summary of Audit

The second NNWSI response to the audit findings was evaluated by HQ-OGR and further additional information requested from NNWSI. The four (4) findings will remain open pending the HQ-OGR evaluation of the additional information when submitted by NNWSI.

B. BWIP

1. Audit Activities

- | | |
|-----------------------------|-------------|
| o audit notification letter | 2/5/85* |
| o prepare audit check list | 4/5/85* |
| o conduct BWIP audit | 5/20-23/85* |

- o issue audit report 6/20/85*
- o evaluate corrective action responses 8/5/85*
- o notify BWIP [Additional Response Required] 9/20/85*
- o BWIP response 11/29/85

2. Summary of Audit

Of the seven (7) audit findings, BWIP's responses to six (6) were found satisfactory but remain open pending verification of corrective action by HQ-OGR. BWIP's response to Finding #6 (BWIP's lack of requirement to review contractor procedures) was found unsatisfactory and HQ-OGR has requested an additional response.

C. SRPO

1. Audit Activities

- o audit notification letter 2/5/85*
- o prepare audit check list 5/31/85*
- o conduct SRPO audit 7/8-11/85*
- o issue audit report 7/19/85*
- o evaluate corrective action responses 9/16/85*
- o notify SRPO of acceptability of corrective action response. 11/15/85

2. Summary of Audit

Findings

- o Performance requirements are not specified for repository system components as required by the NRC QA Review Plan.
- o The required QA reviews are not required by the SRPO QAPs and are not being performed.
- o Procedures for controlling nonconformances and corrective actions do not meet requirements of the NRC QA Review plan.
- o SRPO has not implemented a QA Records System that meets the requirements of the NRC QA Review Plan.
- o The SRPO auditing program does not meet the above requirements of the NRC QA Review Plan and of NQA-1.

- o The SRPO QA Program does not include such commitment for the control of computer programs and procedures describing the controls have not been provided.
- o The SRPO QA Program does not require the assessments to be made by management above or outside the QA organization.
- o The required indoctrination, training and qualification programs have not been established.
- o The SRPO QA Program does not describe the involvement of the QA organization in supplier selection and bid evaluation.

Observations

- o Evidence of QA reviews of contracts and modifications for Battelle and Parsons-Redpath not always available in the Chief of Contracts and Administration files.
- o The SRPO does not have an audit tracking system.

D. CRPO

1. Submit CRPO QA Plan to HQ for approval 4/1/86
2. Audit Activities
 - o audit notification letter 7/11/86
 - o prepare audit check list 8/1/86
 - o conduct CRPO audit 8/22/86
 - o issue audit report 9/26/86
 - o evaluate corrective action responses 11/28/86
 - o notify CRPO of acceptability of corrective action response 12/31/86

3. Summary of Audit

later

5. Participate in Project Audits of Contractors

- A. Prepare master schedule (FY 1986) 11/29/85
- B. Make assignments to OGR auditors 12/20/85
- C. Participate in audits TBD

6. Analyze Project Audit Reports (June - November 1985)

- A. Prepare next audit summary report 12/31/85

Note: No activity this report since audit summaries are semi-annual and next summary is scheduled for 12/31/85. Summaries after 12/31/85 will be quarterly, not semi-annually

7. Target Schedule for Issuance of Program Wide Policy Guidance

- A. Issue draft important to safety (Q-list) methodology. 7/31/85*

1. Revise draft per project comments 11/8/85*
2. Discuss with NRC at joint NRC/DOE meeting 12/5/85
3. Issue final methodology 1/31/86

- B. Issue QA Handbook for Geologic Investigations

NOTE: Action cancelled per QACG meeting. No longer a need for the QA Handbook for Geologic Investigations. Existing standards are adequate.

- C. Issue program wide supplemental QA requirements

1. Qualification of personnel (Supplement #1) 11/22/85
2. Overview of QA activities (Supplement #2) 1/31/86
3. Control of measuring and test equipment (Supplement #3) 1/31/86
4. QA records (Supplement #4) 1/31/86
5. QA for research and development (Supplement #5) 1/31/86
6. Computer software control (Supplement #6) 1/31/86
7. Peer reviews (Supplement #7) TBD
8. Reliability of existing data 2/28/86
9. Significant problem reporting

NOTE: This supplement no longer required per QACG. HQ QAMPR provides sufficient direction.

8. Target Schedule for Resolution of NRC QA Concerns

- A. Input from projects on NRC issues raised during December 84 site visits. 3/29/85*

B. Proposed DOE position on independence of QA position.	12/5/85
C. Proposed DOE position on dependence on contractors.	12/5/85
D. Proposed DOE position on graded QA.	12/5/85
E. Proposed DOE position on qualifying historical data.	12/5/85
F. Proposed DOE position on readiness reviews	12/5/85
G. Proposed DOE position on NNWSI control of participants	12/5/85
H. Proposed DOE position on USGS matrix management approach	12/5/85
I. Follow-up meeting with NRC	12/5/85
9. <u>Target Schedule for Completion of SCP QA Input</u>	
A. Guidance to project QA managers (check list)	5/15/85*
B. Meeting among project participants to discuss issues	7/30/85*
C. review draft QA chapters of SCPs and provide additional guidance	TBD
10. <u>Conduct QACG Meetings</u>	
A. Issue agenda for Oct '85 meeting	9/30/85*
B. Conduct Oct. meeting	10/22-23/85*
C. Distribute meeting minutes	11/30/85
D. Issue agenda for Jan. '86 meeting	1/3/86
E. Conduct Jan. meeting	1/28-29/86
F. Distribute meeting minutes	2/21/86