

**QA: QA**

**U. S. DEPARTMENT OF ENERGY  
OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT  
OFFICE OF QUALTY ASSURANCE**

**AUDIT REPORT M&O-ARC-01-03**

**OF THE**

**CIVILIAN RADIOACTIVE WASTE MANAGEMENT SYSTEM  
MANAGEMENT AND OPERATING CONTRACTOR**

**AT**

**LAS VEGAS, NEVADA**

**JANUARY 16-19, 2001**

**Prepared by: \_\_\_\_\_ Date: \_\_\_\_\_**

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Audit Team Leader  
Office of Quality Assurance/  
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**Approved by: \_\_\_\_\_ Date: \_\_\_\_\_**

**Robert W. Clark  
Director  
Office of Quality Assurance**

## **1.0 EXECUTIVE SUMMARY**

As a result of Quality Assurance (QA) limited scope compliance-based audit M&O-ARC-01-03, the audit team determined that, with the exception of those areas where conditions adverse to quality were identified, the Civilian Radioactive Waste Management System Management and Operating Contractor (CRWMS M&O) is satisfactorily and effectively implementing QA Program Sections 4.0, 7.0, and Appendix C of the U.S. Department of Energy (DOE), Office of Civilian Radioactive Waste Management (OCRWM), Quality Assurance and Requirements (QARD), DOE/RW-0333P, Revision 10, and applicable implementing procedures.

The audit team identified conditions adverse to quality that resulted in the issuance of Deficiency Report (DR) LVMO-01-D-035.

DR LVMO-01-D-035 identified that the CRWMS M&O failed to comply with submittal requirements for deliverables submitted to the DOE in accordance with the requirements of AP-7.5Q, "Submittal, Review, and Acceptance of Deliverables."

The audit team evaluated the effectiveness of corrective actions for one CRWMS M&O supplier deficiency document in which the action to preclude recurrence commitment required the CRWMS M&O to procure any Yucca Mountain Site Characterization Project (YMP) related item and service for the supplier. The audit team determined through interface with the supplier and the CRWMS M&O that the commitment had not as yet been implemented. The evaluation results are documented in Section 5.5.5 of this report.

In addition, there was one recommendation resulting from the audit, as documented in Section 6.0 of this report, for the CRWMS M&O management's consideration.

## **2.0 SCOPE**

Auditors representing the DOE Office of Quality Assurance (OQA) conducted a limited scope compliance-based audit to evaluate the CRWMS M&O implementation of the OCRWM QA Program for procurement, as described in the QARD and implementing procedures. The audit team, through interviews of cognizant personnel, reviews of documentation, and evaluation of procedures assessed implementation, adequacy, and effectiveness of the CRWMS M&O implementation of the QA Program.

The audit team reviewed the status of OCRWM CRWMS M&O procurement deficiency documents generated during previous OQA audits and surveillances to determine the effectiveness of in-process and completed corrective actions by the CRWMS M&O.

In accordance with the approved audit plan, the following QA Program sections were evaluated:

4.0	Procurement Document Control
7.0	Control of Purchased Items and Services
Appendix C	Monitored Geological Repository

The audit was conducted at the CRWMS M&O offices in Las Vegas, Nevada.

### **3.0 AUDIT TEAM AND OBSERVERS**

The following is a list of audit team members and assigned areas of responsibility.

<b><u>Name/Title/Organization</u></b>	<b><u>QA Program Sections</u></b>
V. J. Barish, Jr., Audit Team Leader, OQA/Quality Assurance Technical Support Services (QATSS)	7.0, Appendix C
M. A. Goyda, Auditor, OQA/QATSS	4.0, 7.0
C. D. Wright, Auditor, OQA/QATSS	4.0, 7.0

The following observer participated in the audit:

<b><u>Name/Title/Organization</u></b>
R. M. Latta, Senior Licensing On-Site Representative, Nuclear Regulatory Commission

### **4.0 AUDIT MEETINGS AND PERSONNEL CONTACTED**

A pre-audit meeting was held at the CRWMS M&O offices in Las Vegas, Nevada, on January 16, 2001. Daily debriefings were conducted to apprise the CRWMS M&O management and staff of the audit progress and any conditions adverse to quality. A post-audit meeting was held at the CRWMS M&O offices in Las Vegas, Nevada, on January 19, 2001. Personnel contacted during the audit, including those who attended the pre-audit and post-audit meetings, are listed in Attachment 1, "Personnel Contacted During the Audit."

### **5.0 SUMMARY OF AUDIT RESULTS**

#### **5.1 Program Effectiveness**

The audit team concluded that, with the exception of those areas where conditions adverse to quality were identified, the CRWMS M&O is satisfactorily and effectively implementing the examined portions of the QARD and applicable implementing procedures.

**5.2 Stop Work or Immediate Corrective Actions Taken**

There were no Stop Work Orders or immediate corrective actions as a result of the audit.

**5.3 QA Program Audit Activities**

Attachment 2, "Summary Table of Audit Results," provides the results for each QA Program section audited. Details of audit activities, including objective evidence reviewed, are documented in the audit checklists. The checklists are maintained as QA records.

**5.4 Technical Audit Activities**

An audit of technical activities was not included in the scope of the audit.

**5.5 Summary of Conditions Adverse to Quality**

One deficiency document with conditions adverse to quality was issued to the CRWMS M&O as a result of this audit. Details of the deficiencies are detailed in Section 5.5.2 of this report.

**5.5.1 Corrective Action Requests (CAR)**

None.

**5.5.2 Deficiency Reports (DR)**

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Deliverable Acceptance Review forms did not contain ICN numbers or dates, and a transmittal letter did not identify open deficiency documents or state that no deficiency documents had been generated.

**5.5.3 Deficiency Identification and Referrals (DIR)**

None.

**5.5.4 Deficiencies Corrected During the Audit (CDA)**

None.

### **5.5.5 Follow-up of Previously Identified Conditions Adverse to Quality**

#### LVMO(V)-00-D-085

The Deficiency Report noted the failure of the supplier to include technical and quality requirements in procurement documents for measuring and test equipment used to satisfy YMP related procurement requirements. An action to preclude recurrence commitment, in addition to a restriction on the Qualified Supplier's List, required the CRWMS M&O to procure for the supplier all items and services related to YMP activities. Discussions with the supplier and the CRWMS M&O Procurement Department personnel revealed that there has not yet been a requirement for the supplier to procure items and/or services for YMP activities.

## **6.0 RECOMMENDATIONS**

The following recommendation is presented for consideration by appropriate CRWMS M&O management:

The audit team identified that the QA procurement packages, consisting of the acceptance report with the applicable supplier objective evidence (Certificates of Conformance, data, analytical/technical reports, etc.) compiled by the Responsible Manager/Requestor, are not being processed and submitted to the Procurement Engineer (PE) in a timely manner. In one procurement package reviewed during the audit, the instrument calibration and documentation was received and the instrument was possibly in use in the field for ten months prior to the PE receiving and approving the acceptance report.

The requirements included in YLP-7.1Q, "Acceptance of Purchased Products/Materials," and the acceptance requirements included in QAP 7-5, "Acceptance of Items and Services," should be consolidated to ensure acceptance of the supplier documentation/records and inspection of instrumentation for acceptability prior to release/use of the item in the field. The audit team concludes that this consolidation would result in the procurement package, acceptance report, etc. being processed and handled in a more expeditious manner.

## **7.0 LIST OF ATTACHMENTS**

Attachment 1 – Personnel Contacted During the Audit  
Attachment 2 – Summary Table of Audit Results

**ATTACHMENT 1**

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**PERSONNEL CONTACTED DURING THE AUDIT**

Name	Organization	Pre-Audit Meeting	Contacted During Audit	Post-Audit Meeting
Patrick V. Auer	QATSS		X	
Kim Bakken	CRWMS M&O		X	
Marina Blackwell	CRWMS M&O		X	
James Blaylock	DOE/OQA			X
Jerry A. Cogar	CRWMS M&O		X	
Robert D. Habbe	QATSS		X	
Robert P. Hasson	QATSS	X		X
Robert W. Henderson	CRWMS M&O		X	X
Bonnie J. Howe	CRWMS M&O		X	
Mark Knapp	CRWMS M&O		X	
Dean M. Kunihiro	CRWMS M&O		X	X
Richard L. Maudlin	QATSS		X	
Edward J. McDonnell	CRWMS M&O		X	
John P. McGoldrick	CRWMS M&O		X	
Larry W. McGrath	CRWMS M&O	X	X	X
Edward P. Opelski	QATSS			X
Cheryl E. Smith	CRWMS M&O		X	
Ernest Stemley	CRWMS M&O		X	
Kathleen Thompson	CRWMS M&O		X	

**LEGEND:**

DOE/OQA – Department of Energy/Office of Quality Assurance

CRWMS M&O – Civilian Radioactive Waste Management System Management and Operating Contractor

QATSS – Quality Assurance Technical Support Services

**ATTACHMENT 2**

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**SUMMARY TABLE OF AUDIT RESULTS**

<b>QARD SECTION</b>	<b>IMPLEMENTING DOCUMENTS</b>	<b>DETAILS (CHECKLIST)</b>	<b>DEFICIENCIES</b>	<b>RECOMMENDATIONS</b>	<b>PROGRAM ADEQUACY</b>	<b>PROCEDURE COMPLIANCE</b>	<b>SECTION OVERALL</b>
4.0	NLP-7-3 AP-7.6Q	Page 1 Pages 2-5	N N	N N	SAT SAT	SAT SAT	SAT
7.0	LP-3.22Q-M&O QAP-7-5 NLP-7-3 AP-7.5Q AP-7.4Q	Pages 6-8 Pages 9-13 Page 14 Pages 15-18 Pages 19-22	N N N LVMO-01-D-035 N	N REC N N N	SAT SAT SAT SAT SAT	SAT SAT SAT SAT SAT	SAT
APP C	AP-7.6Q	Pages 23-24	N	N	SAT	NI	SAT
<b>TOTAL</b>		<b>24 pages</b>	<b>1 DR</b>	<b>1 REC</b>	<b>Satisfactory</b>		

**LEGEND:**

- DR – Deficiency Report
- N – None
- NI – Not Implemented
- SAT – Satisfactory
- REC – Recommendation
- APP - Appendix