



## Department of Energy

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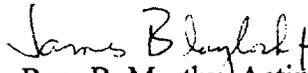
#### CORRECTIVE ACTION DOCUMENT CURRENT STATUS OF OPEN ITEMS QUARTERLY REPORT – MAY 3, 2002

The quarterly status report of the Office of Civilian Radioactive Waste Management Deficiency Reports (DR) is comprised of a summary table. The *Current Status of Open Items Report* (pages 1 through 4), is constructed by type of deficiency and shows pertinent information to each open deficiency, as of May 3, 2002.

It is requested that the responsible individuals of the organizations review the reported information for use in initiating or prioritizing actions to disposition and close the open deficiencies contained in this report. This report is readily available to interested parties on the Lotus Notes CAR/DR/QO database.

If you have any questions or note any discrepancies, please contact either James Blaylock at (702) 794-1420 or Deborah G. Opielowski at (702) 794-1466.

OQA:JB-1150

  
Ram B. Murthy, Acting Director  
Office of Quality Assurance

Enclosure:  
Current Status of Open Items Report

cc w/encl:  
Records Processing Center = "8"



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#	Number	Description	Days	QAR BSCQE	Resp Mgr	Action Current Action Org	Date Done	Comment
1	BSC-01-C-001	Validation (Confidence Building) of Analyses and Models is Not Being Documented in Accordance with AP-3.10Q	365	Bob Hasson, Judy Gebhart	Bob Andrews	BSC	Corrective Action Completion Due by 4/16/04	
2	BSC-02-C-001	Training Requirements Matrix/Job Function Not Determined and Not Provided HR/TO	157	Don Harris, Hank Greene	Don Pearman	OQA	QAR is Evaluating Amended Response by 5/9/02	Contact the QAR for the list of personal involved and trend database applicable deficiency reports.
3	BSC-01-C-002	Inadequate implementation of Supplement I Software Quality Assurance Requirements	325	Bob Hasson, Judy Gebhart	Leon Fossum	BSC	Amended Response Due by 3/22/02	Note: This CAR was written on an Overdue Action Item Report for 4/8/02, 4/15/02, 4/22/02, 4/22/02 and 4/29/02. DGO
4	BSC-02-D-009	No Objective Evidence of a Technical Review for Data Classified as Final and Qualified in the TDMS	183	Christian Palay, Judy Gebhart	Mark Peters	BSC	Complete Response due by 5/17/02	
5	BSC(V)-02-D-018	Training Not Documented for QA/QC and Materials Managers	176	Richard Maudlin, Ken Gilkerson	Mark Peters	BSC	Amended Response Due by 5/15/02	S&ET Manager has reassigned this DR to Roxie VanDillen. Roxie will work with QAR and Procurement to resolve DR. Request for extended processing in draft awaiting BSC QA and Procurement concurrence to proceed with request. [RLV] Request for extended processing will be submitted for approval on March 11, 2002. [RLV] Note: This DR was written on an Overdue Action Item Report for 3/12/02. DGO (Note: Awaiting response to followup verification comments. 2/22/02 RLM). This report will not be closed until 05/15/02. RO will work with Procurement to close this DR. [RLV]
6	BSC(V)-02-D-019	Calibration Certificates Do Not Contain All Required Information	176	Richard Maudlin, Ken Gilkerson	Mark Peters	BSC	Amended Response Due by 5/15/02	S&ET Manager has reassigned this DR to Roxie VanDillen. Roxie will work with QAR and Procurement to resolve DR. Request for extended processing in draft. [RLV] Request for extended processing will be submitted for approval on March 11, 2002. [RLV] Note: This DR was written on an Overdue Action Item Report for 3/12/02. DGO (Note: Awaiting response to followup verification comments. 2/22/02 RLM). This report will not be closed until 05/15/02. RO will work with Procurement to close this DR. [RLV]
7	BSC(V)-02-D-021	Master List of M&TE Has Incorrect Information/Program Documents to Not Address Out-of-Tolerance Equipment	176	Richard Maudlin, Ken Gilkerson	Mark Peters	BSC	Amended Response Due by 5/15/02	S&ET Manager has reassigned this DR to Roxie VanDillen. Roxie will work with QAR and Procurement to resolve DR. Request for extended processing in draft. [RLV] Request for extended processing will be submitted for approval on March 11, 2002. [RLV] Note: This DR was written on an Overdue Action Item Report for 3/12/02. DGO (Note: Awaiting response to followup verification comments. 2/22/02 RLM). This report will not be closed until 05/15/02. RO will work with Procurement to close this DR. [RLV]
8	BSC(V)-02-D-045	Supplier did not Comply with their Procurement Quality Procedures for Control of Purchase Orders, Receipt Inspection Activities and Approval of Suppliers	136	Richard Maudlin, Ken Gilkerson	Mark Peters	BSC	Amended Response Due by 5/15/02	QAR reviewed response on 02/28/02 and had comments that needed to be resolved prior to acceptance. E-mail sent to responsible individual on 02/28/02 with a request to resolve. Based in information provided by supplier, this DR will not be completed within normal processing. Extended processing request being submitted to management by COB 03/25/02. This DR will not be ready for closure until 05/15/02. RO will work with Procurement to close. [RLV]

#	Number	Description	Days	QAR BSCQE	Resp Mgr	Action Current Action Org	Date Done	Comment
9	YMSCO-01-D-064	Inadequate Procedure Preparation and Review	338	James Blaylock, Sam Horton	Jim Whitcraft	YMSCO	Corrective Action Completion Due by 7/23/02	
10	BSC-02-D-067	Refrigerant has not Undergone a Safety Assurance Evaluation as Per Procedural Requirements	87	John Doyle, Howard Cox	Mike Sparks	BSC	Corrective Action Completion due by 05/10/2002	
11	BSC-02-D-070	Failure to Properly Document Software Qualification; Failure to Use Software Within the Qualified Environment	85	Sam Archuleta, Dan Tunney	Tom Doering	BSC	Complete Response due by 04/26/2002	
12	BSC-02-D-074	Data Used in Scientific Notebook at URS Group in Santa Ana, CA, Not Obtained from TDMS Nor Identified by Appropriate Data Tracking Number	60	Pat Auer, Ken Gilkerson	Mark Peters	BSC	Corrective Action Completion due by 05/15/2002	
13	BSC-02-D-076	Calibration Documentation Generated by URS Group in Santa Ana, CA, Did Not Contain All Information Required by AP-12.1Q	60	Pat Auer, Ken Gilkerson	Mark Peters	BSC	Corrective Action Completion Due by 05/15/2002	
14	LBNL-02-D-079	DTN Submittal had Deficiency with Data Traceability and Completeness of Data	29	Jim Voigt, Steve Harris	Paul Dixon	LBNL	Initial Response Due by 4/25/02	
15	YMSCO-02-D-082	Not all BSC Organizations Covered by Self Assessment Schedule, USGS Schedule does not Identify Team Leads and Neither DOE or USGS Schedules Cover ISM Topics	39	Pat Auer,		OQA	Sent to QAM for Acceptance of Initial Response by 5/8/02 (e-mail)	
16	YMSCO-02-D-083	Self Assessment Conditions not Entered in CIRS by the Self Assessment Team Lead	39	Pat Auer,		OQA	Sent to QAM for Acceptance of Initial Response by 5/8/02 (e-mail)	
17	USGS(V)-02-D-084	The Fluke CSS QA Manual Fails to Require Purchase Orders to Include Technical and Quality Requirements and Does Not Describe the Relationship Between the CSS and Fluke Primary Standards Lab	45	Richard Maudlin, Donna Sinks	Robert Craig	BSC	QAR to Perform Verification by 5/17/02	
18	USGS(V)-02-D-085	The Fluke CSS QA Manual Does Not Address Requirements for Annual Internal Audits and No Evidence Could be Provided and Internal Audit of CSS was Performed for 2001	45	Richard Maudlin, Donna Sinks	Robert Craig	USGS	Corrective Action Completion Due by 5/13/02	
19	BSC-02-D-086	Diesel Engine Emission Test Standards not Approved by A/E and in Conflict with Spec. 01501	44	John Doyle, Howard Cox	Mike Sparks	BSC	Complete Response Due by 5/17/02	
20	BSC-01-D-087	Untimely Initiation and Processing of Scientific Notebook Technical and Compliance Reviews and Untimely Submittal of Records	289	Christian Palay, Ken Gilkerson	Bill Watson	BSC	Correction Action Completion due by 05/20/2002	
21	BSC-01-D-088	Failure to Submit Software Used on the Project to SCM	297	Sam Archuleta, Judy Gebhart	Leon Fossum	OQA	QAR is Evaluating Amended Response by 5/8/02	BSC Mgr and Resp Indiv changed to reflect reassignment of the DR responsibility (WWW - 12/21/01). Note: This DR was written on an Overdue Action Item Report for 3/12/02. DGO Amended completed response faxed to OQA, and RI requesting verification via e-mail on 5/2/02 (AGB 5/2/02).

#	Number	Description	Days	QAR BSCQE	Resp Mgr	Action Current Action Org	Date Done	Comment
22	BSC(V)-02-D-088	Parallax Did Not Follow Their Quality Assurance Program Requirements for Issuing Controlled Documents	45	Bob Habbe, Steve Schuermann	Bob Sandifer	BSC	QAR to Perform Verification by 5/15/02	Supplier submitted closure documentation on 5/1/02. QAR review indicates that additional documents are needed and supplier will provide by 5/10/02. QAR will complete verification by 5/15/02. RDH 5/03/02
23	EM-01-D-089	Documents to Describe Interfaces --- Responsibilities Not Updated	309	Marilyn Kavchak,	Larry Vaughan	EM	Initial Response Due by 4/30/02	Note: This DR was written on an Overdue Action Item Report for 10/17/01, 10/24/01, 10/31/01, 11/7/01, 11/21/01, 11/28/01, 12/5/01, 12/12/01, 12/19/01, 1/3/02 and 1/9/02. DGO
24	BSC(V)-02-D-089	Parallax Did Not Follow Their Quality Implementing Procedure Requirements for the Certification of Independent Assessment Personnel	45	Bob Habbe, Steve Schuermann	Bob Sandifer	BSC	QAR to Perform Verification by 5/15/02	Supplier submitted closure documentation on 5/1/02. QAR review indicates that additional documents are needed and supplier will provide by 5/10/02. QAR will complete verification by 5/15/02. RDH 5/03/02
25	BSC-02-D-090	Tracers, Fluids and Materials have not Been Reported on the Required Form as Per Procedure	30	John Doyle, Howard Cox	Mike Sparks	OQA	Sent to QAM for Acceptance of Initial and Amended Responses by 5/9/02 (e-mail)	
26	BSC(V)-02-D-091	No Objective Evidence Provided by the SWS Logging Engineer that the Wellsite Log Quality Control Checklist was Generated for Work Performed at Borehole NC-EWPD-22S	38	Richard Maudlin, Rick Weeks	Mark Peters	BSC	QAR is Evaluating Amended Response by 5/10/02	QAR reviewed response and found additional information is needed for remedial action. Requested the additional information be provided by 05/02/02. [RLM]
27	BSC-02-D-092	Software Codes Inappropriately Bundled into Datasets; Various Errors Discovered Within the Software	23	Sam Archuleta, Steve Schuermann	Mike Jaeger	OQA	QAR is Evaluating Initial and Complete Response by 5/2/02	
28	BSC-02-D-093	Work Package Planning Summaries not Submitted to Document Control and to RPC as Required Per AP-2.15Q	24	Christian Palay, Ken Gilkerson	Mark Peters	OQA	Sent to QAM for Acceptance of Initial Response by 5/9/02 (e-mail)	
29	LLNL-02-D-094	Documented Sample Traceability for Fabricated Specimens Not Maintained In the Scientific Notebook As Required	24	Christian Palay, Ken Gilkerson	Mark Peters	LLNL	Initial Response Due by 5/3/02	This DR was signed by the responsible manager on 05/03/02. It is currently in Projects Management Review. [RLV]
30	BSC-02-D-095	Implementation of AP-2.21Q is Inadequate, Especially Relative to Use of Addendums	25	Jim Voigt, Hank Greene	Mary McDaniel	BSC	Complete Response Due by 5/10/02	
31	BSC-02-D-096	Obsolete/Superseded Planning Documents Continue to be Available on Lotus Notes Program Documents	24	Jim Voigt, Judy Gebhart	Bill Watson	OQA	Sent to QAM for Acceptance of Initial Response by 5/8/02 (e-mail)	
32	BSC(V)-02-D-097		18	Rich Hand, Rich Hand	Mark Peters	BSC	Initial Response Due by 4/29/02	The complete response to this DR was signed by the responsible manager on 05/03/02. It is currently in Projects Management Review. [RLV]
33	BSC(B)-02-D-098		18	Rich Hand, Rich Hand	Mark Peters	BSC	Initial Response Due by 5/10/02	
34	BSC(O)-02-D-099	AP-SI.1Q Failed to Capture the Independent Technical Review Records for Software Development	24	Don Harris, Judy Gebhart	Paula Thompson	OQA	Sent to QAM for Acceptance of Initial Response by 5/9/02 (e-mail)	

#	Number	Description	Days	QAR BSCQE	Resp Mgr	Action Current Org	Action Date Done	Comment
35	BSC(B)-02-D-100	Pre-test Predictions for SITP-02-EBS-002 not Completed as Required Prior to Start of Tests	29	Ken Gilkerson,	Mark Peters	BSC	Initial Response Due by 5/16/02	
36	BSC(V)-02-D-101	Primary Standards Laboratory did not Follow Their Internal Audit Procedure when Performing Internal Audits	18	Bob Habbe,Bob Habbe	Mark Peters	BSC	Initial Response Due by 5/3/02	The initial response to this DR was signed by the responsible manager on 05/03/02. It is currently in Projects Management Review. [RLV]
37	BSC(V)-02-D-102	The Primary Standards Laboratory Quality Program 18 does not Require Technical and Quality Requirements to be Incorporated into Procurement Documents or Documented Reviews of Procurement Documents	18	Bob Habbe,Bob Habbe	Mark Peters	BSC	Initial Response Due by 5/3/02	The initial response to this DR was signed by the responsible manager on 05/03/02. It is currently in Projects Management Review. [RLV]
38	BSC(V)-02-D-103	Primary Standards Laboratory did not Follow Their Software Procedure for Verification of Software Changes	18	Bob Habbe,Bob Habbe	Mark Peters	BSC	Initial Response Due by 5/3/02	The complete response to this DR was signed by the responsible manager on 05/03/02. It is currently in Projects Management Review. [RLV]
39	BSC(B)-02-D-104	Failure of the Procedure to Address the Processing and Approval of Memorandum Purchase Orders; MPO's Were Lost in the Shuffle When the Procedure Was Revised	17	Rich Hand,Rich Hand	Rob Henderson	BSC	Corrective Action Completion Due by 4/22/02	Initial and complete response was concurred with on 04/25/02 by BSC QA. Awaiting QAR validation of completed corrective action to close.
40	USGS-01-D-105	M&TE Master List is Not Current, OCRs Not Initiated for M&TE per Procedural Requirements	289	James Blaylock,Donna Sinks	Robert Craig	USGS	Corrective Action Completion Due 4/30/02	
41	LLNL(B)-02-D-105	M&TE for Laboratory Experiments on the Origin of HF Gas in the DST was Not Controlled in Accordance with AP-12.1Q	16	Charlie Warren,Charlie Warren	Paul Dixon	BSC	BSC is Preparing Acceptance Correspondence by 5/6/02	
42	LLNL(O)-02-D-107	Records/Records Packages Not Submitted to the Records Processing Center Within the 60 Day Requirements of AP-17.1Q	2	Les Wagner,Charlie Warren	Tom Doering	LLNL	Initial Response Due by 5/15/02	
43	LLNL(O)-02-D-108	Technical Publications Not Reviewed by the Engineering Assurance Manager as Per 033-YMP-QP 3.3	2	John Doyle,Charlie Warren	Tom Doering	LLNL	Initial Response Due by 5/15/02	
44	BSC-01-D-129	Training to Required Procedures not Performed Within Procedure Time Requirements	220	John Doyle,Richard Powe	Steve Swenning	BSC	Amended Response Due by 4/19/02	Note: This DR was written on an Overdue Action Item Report for 4/23/02. DGO
45	EM-01-D-145	Timeliness of Corrective Actions; Significant Condition Adverse to Quality	205	Jim Flaherty,		EM	Corrective Action Completion Due by 5/31/02	
46	BSC(B)-02-O-005	Failure to Incorporate SCN Within 180 Days of Issue	22	Larry Abernathy,	Muthuraman Iyer	BSC	Resolution Taking Place by 5/11/02	
47	BSC(V)-02-O-013	Bechtel Nevada Did Not Change a Form Name in Two Implementing Procedures After Changing the Form Name in An Upper Tier Directive	3	Bob Habbe,	Emily Wilson,BN	BSC	Corrective Action Completion Due by 5/30/02	
48	BSC(B)-02-O-016	Change History is Missing Information	2	Steve Schuermann,	James Whitcraft	BSC	Corrective Action Completion Due by 5/30/02	