



QA: QA

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ISSUANCE OF DEFICIENCY REPORT (DR) USGS(B)-02-D-137, OUT OF CALIBRATION REPORTS (OCRs) SUBMITTED TO THE RECORDS PROCESSING CENTER (RPC) MISSING REQUIRED INFORMATION

Enclosed is the subject DR generated as a result of a review of OCRs being submitted to the RPC during Surveillance BSCQA-02-S-22. The condition adverse to quality relates to information missing on OCRs required in accordance with Administrative Procedure AP-12.1Q, *Control of Measuring and Test Equipment and Calibration Standards*.

Please provide the original copy of the response within 10 working days from the date of this correspondence to Donna L. Sinks, U.S. Geological Survey/YMP, Denver Federal Center M/S 421, Building 53, Denver, Colorado 80225, with a copy to Deborah G. Opielowski, Navarro Quality Services, P. O. Box 364629, YMSCO Mail Stop 455, North Las Vegas, Nevada 89036.

If you have any questions, please contact either Donna L. Sinks (303) 236-5050 Ext. 294 or Judith E. Gebhart at (702) 295-4788.

A handwritten signature in black ink that reads 'D. T. Krisha'.

Donald T. Krisha, Manager
Quality Assurance

6/17/02
Date Signed

REP:bw-0613022991

Enclosure:
DR USGS(B)-02-D-137

NMSS07

June 17, 2002

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cc w/encl:

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T. H. Chaney, USGS, Denver, CO
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Pam Motyl, USGS/Epsilon-Stoller Team, Denver, CO
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NW 5507 W-14-11

**OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C**

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8. Deficiency Report
 Corrective Action Report

No. USGS(B)-02-D-137

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DEFICIENCY REPORT/CORRECTIVE ACTION REPORT

1. Controlling Document: (Document ID and Revision or Date)
AP-12.1Q, R0, ICN2, *Control of Measuring and Test Equipment and Calibration Standards*

2. Related Report No.:
BSCQA-02-S-22

3. Responsible Organization:
USGS

4. Discussed With:
T. Chaney and M. Mustard, USGS; P. Motyl, USGS/Epsilon-Stoller Team

5. Requirement:
AP-12.1Q, Section 5.7.1 c), Sec. 6.0, and Attachment 6 instructions, state, in part, that:

“5.7.1 c) Document the out-of-calibration conditions of M&TE by using Attachment 6, Measuring and Test Equipment Out of Calibration Report (M&TE OCR), in accordance with the instructions provided.”

“6.0 The documents listed in Subsections 6.1 and 6.2 shall be collected and submitted to the RPC in accordance with AP-17.1Q, *Record Source Responsibilities for Inclusionary Records*, as individual records or included in a records package, as specified.”

“Attachment 6 – Measuring and Test Equipment Out of Calibration Report” form and instructions

6. Description of Condition:

Contrary to the above requirements, the 20 USGS Out of Calibration Reports examined during surveillance BSCQA-02-S-22 were missing information required by the procedure and/or some apparently had not been submitted to the RPC in the required timeframe. The OCRs containing missing/incorrect information and the specific OCRs that were not found in the RPC are provided on Attachment 1 of this DR. In addition, comments on the OCRs that are not specific deficient conditions, but are issues of concern in processing the OCRs, also are included in Attachment 1.

NOTE: When searching RIS for OCRs during the surveillance, the QAR selected from the 20 examined and chose ones that were closed on or before 1/11/01 to allow for possible submittal of the OCR as part of a records package to the RPC and the accessioning (1 year plus + accessioning).

Has work been stopped? Yes No

7. Initiator:
Donna Sinks Donna Sinks 6/10/02
Printed Name Signature Date

9 Does a stop work condition exist?
 Yes No N/A

If Yes, Check One: A B C D

10. Recommended Actions:

Provide a reference to this DR on affected OCRs.

11. QAR Review:
Donna Sinks Donna Sinks 6/11/02
Printed Name Signature Date

12 Response Due Date:
10 Working days after issuance.

13. QAM Issuance Approval:
Donald T. Krishna D. T. Krishna 6/17/02
Printed Name Signature Date

14. Corrective Actions Verified/Closure:
QAR Printed Name Signature Date

15. QAM Closure Approval:
Printed Name Signature Date

| OCR # | Closed | Instrument | Serial # | Accession # | Deficiencies/Comments |
|--------------------------------------|-----------|-------------------------|---------------|-----------------------|---|
| USGS-2000-003 (USGS OCR-2000-003) | 3/29/2000 | T&Rh probe | S0710019 | MOL.20010531.0026 | block 5 information partially obliterated by "Attachment G" sticker; imaging at RPC obliterated block #s 12-14; block 12 dated 2/18/00 & 3/29/00, & indicates equipment being recalibrated, when it was really calibrated 1/18/00; block 13 not dated (equipment was recalibrated); missing OCR # on pg. 2 |
| USGS-2000-006 | 2/22/2000 | Sopris cable | 1532 | MOL.20000830.0077 | cable broke on 9/23/99, recalibrated on 10/99, but OCR initiated 5 months later (2/16/00)no reference to who did calibration and per what procedure; no indication of application of out of service tag or segregation |
| USGS-2000-010 | 5/18/2000 | Alcove #1 balance | 16400-1 | could not find in RIS | OCR closed prior to equipment recal. (equipment to remain in place until experiment over); block 12 signatures on incorrect lines |
| USGS-2000-015 | 4/20/2000 | Rotronics T/Rh Recorder | 28250 | MOL.20010712.0008 | header: QA designator missing in header; block 10: unknown where oven is located or what the oven was used for; block 13: no date; no indication of application of out of service tag or segregation; OCR form submitted as part of calibration documentation, all as individual record: Either cal. documentation should have been a records package (including OCR) or the OCR should have been sent to RPC as individual record. |
| USGS-2000-019 | 4/27/2000 | 21X datalogger | 13554 | could not find in RIS | QA designator missing in header; location, function/use and activity/job information should be in block 10, not block 11 |
| USGS-2000-024 | 6/12/2000 | 10X datalogger | 6/12/00 | could not find in RIS | reference to OCR dated 6/2/00 in block 1, so this should have been Rev. 1 of OCR; location of equipment missing in block 10; function/use and activity/job scope recorded in wrong block |
| USGS-2000-030 | 8/9/2000 | transducers | 9811 and 9813 | could not find in RIS | decision to not remove instrument to recalibrate: no reason stated, except 6 weeks left of test; OCR written 8 months after calibration due date passed: untimely initiation of OCR; location, job scope, function/use missing in block 10 |
| USGS-2000-032 | 8/10/2000 | T/RH probe | 28252 | MOL.20010619.0109 | OCR written for a problem that occurred in 1994: NCR should have been written in 1994; when discovered in 8/00, a DR should have been written for not initiating an NCR; location missing from block 10; function/use and activity/job scope recorded in wrong block |
| USGS-2000-036 | 8/21/2000 | Sartorius balance | 10900849 | MOL.20001030.0039 | no reference to source of tolerance in block 10 (technical procedure? SN?); which procedure states that only reported to 2 decimal places?; recommendation missing from block 12; no indication of application of out of service tag or segregation |
| USGS-2000-039 | 8/24/2000 | balance | 80106554 | could not find in RIS | QA designator in header missing; untimely initiation of OCR (6 months after cal. done); no designation of where "specified control limit" in block 10 is specified; location, activity/job scope missing from block 10; no approval in block 12; no approval in block 14 |

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| OCR # | Closed | Instrument | Serial # | Accession # | Deficiencies/Comments |
|---------------|------------|--|---------------------|-----------------------|---|
| USGS-2000-042 | 10/17/2000 | uranium spike concentrate | Uc | MOL.20010409.0062 | location missing from block 10; block 12 lacks signature of RI; untimely initiation of OCR (4 months after calibration) |
| USGS-2001-003 | 1/11/2001 | Campbell Scientific CR7 datalogger | 1653 | could not find in RIS | took 6 weeks to generate OCR: untimely initiation; function/use missing from block 10; what technical procedure or SN used? |
| USGS-2001-017 | 9/7/2001 | VG Multiprep/Optima MS | SC-16 | NA | block 4 incorrectly labeled as block 3; untimely initiation of OCR (6 months after calibration); location, activity/job scope missing in block 10 |
| USGS-2001-024 | 4/18/2001 | Paroscientific pressure transducers | 59666, 59653, 60460 | MOL.20010712.0246 | problem occurred in 1996-7; NCR should have been initiated; since NCR not initiated, DR should have been initiated, not an OCR (which was not available in 1996-97) |
| USGS-2001-025 | 5/2/2001 | Vaisala T/rH probe | U0140009 | NA | block 10 missing activity/job scope; block 12 recommendation should have stated that equipment will be calibrated and data checked after recalibrated; block 14 should not have been closed out until recalibration completed after removal of probe from behind bulkhead; no indication of application of out of service tag at bulkhead |
| USGS-2001-032 | 7/20/2001 | Sartorius balance | 3404009 | NA | QA designator missing in header; untimely initiation of OCR (6 months after calibration); NCR should have been initiated for 6/29/99 calibration (prior to OCR process); block 10 missing location; no indication of application of out of service tag or segregation |
| USGS-2001-043 | 10/17/2001 | Fluke digital thermometer & thermocouple | 4560341, SV00002593 | NA | block 12 block # missing; approval disposition on 10/17/01, after completion of block 13 (10/15/01), approval disposition date should have been on/before 10/15/01; no indication of application of out of service tag or segregation |
| USGS-2002-003 | 2/6/2002 | B-TEK/GSE scale | 20018-5/321685 | MOL.20020214.0148 | block 4 incorrectly labeled as block 3; block 12 should probably have stated that equipment would remain in use; no indication of application of out of service tag |
| USGS-2002-010 | 1/22/2002 | mass spec | MAT251/kiel | MOL.20020416.0218 | block 7 "Q" not checked; equipment not on USGS cal. register; block 10: when did acid delivery system fail?; which 200 analyses performed?; "approximately" 40 standards analyzed, can't exact # be provided, or a list?; block 12: no equipment recommendation provided; unlikely that equipment will undergo closing calibration |
| USGS-2002-011 | 2/6/2002 | Keithley 182 nanovoltmeter | 0567215 | NA | block 11: lacks signature of Responsible Individual; out of service tag or segregation should have been done while calibration results evaluated |