



**Department of Energy**

Washington, DC 20585

QA: QA


SEP 05 2002

D. W. Thomas  
Bechtel SAIC Company, LLC  
1180 Town Center Drive, M/S 423  
Las Vegas, NV 89144

**VERIFICATION OF CORRECTIVE ACTION AND CLOSURE OF DEFICIENCY REPORT  
(DR) LLNL(O)-02-D-107 RESULTING FROM THE OFFICE OF QUALITY ASSURANCE  
(OQA) AUDIT LLNL-ARC-02-07**

The OQA staff has evaluated the corrective action of DR LLNL(O)-02-D-107 and determined the results to be satisfactory. As a result, the DR is considered closed. The identified deficient condition has no impact on waste isolation or safety.

If you have any questions, please contact either James Blaylock at (702) 794-1420 or Lester W. Wagner at (702) 794-1304.



Ram B. Murthy, Acting Director  
Office of Quality Assurance

OQA:JB-1719

Enclosure:  
DR LLNL(O)-02-D-107



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cc w/encl:

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Robert Latta, NRC, Las Vegas, NV  
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NM5507  
wml

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

8.  DEFICIENCY REPORT  
 CORRECTIVE ACTION REPORT  
NO. LLNL(O)-02-D-107  
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DEFICIENCY REPORT/CORRECTIVE ACTION REPORT

1. Controlling Document. (Document ID and Revision or Date)  
AP-17.1Q, Revision 2, ICN 2

2. Related Report No.  
LLNL-ARC-02-07

3. Responsible Organization  
Lawrence Livermore National Laboratory (LLNL)

4 Discussed With:  
Tanya Reshel, Vic Barish

5. Requirement:  
Section 5.2 g) states in part: "submit to the RPC , individual records within 60 days of completion and records packages within 60 days . . . of completion of the activity . . . ."

6 Description of Condition:  
The following records/records packages were not submitted to RPC within 60 days.

- 1. Self-Assessment Report, SA-LLNL-2001-001, completed 09/07/01, submitted 03/22/02.
- 2. M&TE Acceptance Report, LLYMP0203048, completed 12/19/01, submitted 03/20/02
- 3. M&TE Acceptance Report, LLYMP0203048, completed 10/11/01, submitted 03/2/02
- 4. M&TE Acceptance Report, LLYMP0203050, completed 11/29/01, submitted 03/20/02
- 5. M&TE Acceptance Report, LLYMP0203054, completed 01/09/02, submitted 03/21/02
- 6. M&TE Acceptance Report, LLYMP0203056, completed 01/02/02, submitted 03/21/02
- 7. M&TE Acceptance Report, LLYMP0203057, completed 12/20/02, submitted 03/21/02

01  
fw 6/10/02

Has work been stopped?  Yes  No

7. Initiator:  
Lester W. Wagner  
Printed Name Signature Date 4/25/02

9. Does a stop work condition exist?  
 Yes  No  N/A  
If Yes, Check One.  A  B  C  D

10. Recommended Actions:  
NONE

11. QA Review:  
JOAN R. DOYLES  
Printed Name Signature Date 4/30/02

12. Response Due Date:  
10 Working Days after Issuance

13. QAM Issuance Approval  
Printed Name Ram Murthy Signature James Blaylock Date 5/1/02

14. Corrective Actions Verified/Closure  
LESTER W. WAGNER  
QAR Printed Name Signature Date 5/22/02

15. QAM Closure Approval.  
RAM B. MURPHY  
Printed Name Signature Date 9/5/02

10) 5/22/02

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2. Check if Amended

3. Extended Processing

No  Yes (If yes, submit Extended Processing request)

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1. DR/CAR NO. LLNL-02-D-107  
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DEFICIENCY REPORT/CORRECTIVE ACTION REPORT INITIAL RESPONSE

4. Immediate Actions Necessary to Bring the Process Under Control: (If none, provide justification statement)  
The Engineering Assurance Manger will provide a documented briefing to personnel involved in the record submittal process to detail the AP-17.1Q time limits for record submittals and to reemphasize the importance of meeting these requirements.

Date when process will meet requirements: June 14, 2002

5. Immediate Remedial Actions Completed:  
None. The record packages identified in block 6 of this DR have already been submitted.

*5/22/02*  
*from the records not yet submitted to RPC,*

6. Plan for Determining the Extent of Condition:  
The LLNL Engineering Assurance Manger and support staff will determine the completed records that have not been submitted within the AP-17.1Q specified time limits and will develop a schedule for their submission to the RPC. Priority will be given to quality assurance records. Estimated completion date for this activity is June 21, 2002.

7. Due Date for Submittal of Completed Response:  
6/28/2002

8. Response by: (Responsible Manager) *5-22-02*  
*Jed BSC QA*  
T. DOERFLINGER [Signature] 5.20.02  
Printed Name Signature Date

9. QAR Evaluation:  Accept  Partially Accept  Reject  
LESTER W. WAGNER [Signature] 6/4/02  
Printed Name Signature Date

10. QAM Concurrence:  
RAN MURTHI [Signature] 6/6/02  
Printed Name Signature Date

Submittal Page 1 of 3

- 2 Check if Amended   
 Check if also Initial Response
- 3 Extended Processing  
 No  Yes (If yes, submit Extended Processing request)

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 U.S. DEPARTMENT OF ENERGY  
 WASHINGTON, D.C.**

1. DR/CAR NO <sup>(2)</sup> LLNL-02-D-107  
 PAGE OF 1 7/22/02  
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**DEFICIENCY REPORT/CORRECTIVE ACTION REPORT COMPLETE RESPONSE**

4. Extent of Condition: (Amended response will be required if all Extent of Condition investigations are not complete and documented herein)

The extent of condition investigation revealed that record packages for 63 DTNs have not been submitted (see Attachment A to this response) in accordance with the time frames specified by AP-17.1Q. 59 of these DTN record packages date from fiscal year 2000 and before, one of which dates back to 1994. The remaining four are from 7/01 and 3/02.

Record packages/records for the remaining documents such as acceptance reports, scientific notebooks, procedures, signature lists, training records, etc., have been determined to be up-to-date.

5. Impact: (Provide an impact statement relative to waste isolation and safety, and impact to other work, if any)

The late submittal of record packages has no impact on waste isolation or safety. Any potential impact on work relates to the AP-3.15Q data confirmation process. Personnel required to complete the data confirmation checklist would have to interface with LLNL personnel for information/copies of the appropriate documents in order to complete the process. It is believed that, although this delays the completion of confirmation checklists because the record is not currently available in the RISWeb, it does not impact the quality of the work effort.

6. Remedial Actions: (Document all actions necessary to address the results of the Extent of Condition)

The record packages for the 63 DTNs will be prepared and submitted to the RPC by LLNL personnel by 8/2/2002.

LLNL Engineered Systems Project technical staff shall read AP-17.1Q, and turn in verification of self-study.

7.  Root Cause (For a significant CAQ, attach results of formal root cause determination prepared in accordance with AP-16.4Q)  
 Apparent Cause

For the 63 DTN record packages cited with this complete response: Most of these record packages for the attached list of DTNs were boxed up at the time that currently assigned personnel assumed their positions. Learning the requirements of the position and keeping up with current work consumed all of their working time so there was never an effort to inventory the boxes and determine if the records had been submitted. Outstanding work/backlogs were not documented which basically left the outstanding work/backlog of activities unknown to the new position incumbent.

For the seven record packages cited in Block 6 of the initiating DR: Inattention to detail.

8. Action to Preclude Recurrence: (Address those actions necessary to prevent the identified cause from recurring)

For the 63 DTN record packages cited with this complete response: The Engineering Assurance Manager will create a checklist of activities to be performed by the Responsible Manger of an individual leaving the project or assuming a different position or responsibilities. This checklist will be distributed to LLNL YMP Responsible Managers with direction to complete the checklist, as applicable. Requirements will include the documentation of all outstanding work activities.

For the seven record packages cited in Block 6 of the initiating DR: The immediate action to preclude recurrence documented in the initial response is considered as being adequate to preclude recurrence.

9. Due Date for Completion of Corrective Action:  
 8/2/2002

10 Responsible Manager:

Dennis W. Thomas

Printed Name

Signature

Date

*[Handwritten Signature]*  
 7-17-02  
 QA 7/12/2002  
 350 7/16/02

11. QAR Evaluation:  Accept  Partially Accept  Reject

12. QAM Concurrence:

RAM MURPHY

Printed Name

Signature

Date

*[Handwritten Signature]* 8/1/02

*[Handwritten Signature]*  
 LESTER WAGNER  
 Printed Name

*[Handwritten Signature]*  
 Signature

7/30/02  
 Date

DTN						
LL000116151021.109						
LL000116304244.106						
LL000116404244.107						
LL000402951021.133						
LL000511312342.002						
LL940801004242.003						
LL950916451021.012						
LL961210851021.029						
LL970203651022.010						
LL980112305924.025						
LL980204304244.055						
LL980408304244.058						
LL980409604244.059						
LL981202705924.054						
LL981202805924.055						
LL981203351051.013						
LL990201404241.029						
LL990201504241.030						
LL990201604241.031						
LL990201904241.033						
LL990202004241.034						
LL990202104241.035						
LL990202204241.036						
LL990205004241.038						
LL990205204241.037						
LL990301904242.084						
LL990302004242.085						
LL990511905924.068						
LL990609504244.096						
LL990614951021.073						
LL990703005924.083						
LL990703505924.084						
LL990802205924.086						
LL990806451021.076						
LL990806551021.077						
LL990806651021.078						

LL990806751021.082						
LL990807151021.083						
LL991003104241.040						
LL991005904244.102						
LL991203305924.092						
LL991203405924.093						
LL010700823123.014						
LL000511523141.004						
LL970409604244.030						
LL991009204244.103						
LL020302223142.015						
LL000321204242.092						
LL000321704242.093						
LL000314304242.094						
LL000314404242.095						
LL000509012312.002						
LL000509112312.003						
LL000509212312.004						
LL010703623123.015						
LL000810312251.009						
LL990302204242.087						
LL991008104241.042						
LL991008204241.043						
LL991107804241.044						
LL991107904241.045						
LL010700623121.010						
LL980913104242.051						

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- 2. Check if Amended   
Check if also Initial Response
- 3. Extended Processing  
 No  Yes (If yes, submit Extended Processing request)

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1. DR/CAR NO. LLNL(0)<sup>-02</sup>2-D-107  
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QA: QA <sup>D66</sup> 8/19/02

**DEFICIENCY REPORT/CORRECTIVE ACTION REPORT COMPLETE RESPONSE**

4. Extent of Condition: (Amended response will be required if all Extent of Condition investigations are not complete and documented herein)

The extent of condition in block 4 of the complete response submitted 7/17/02 remains unchanged. This amended complete response is submitted to remove a remedial action that had already been addressed by training the personnel responsible for the submittal of records in a timely manner as required by AP-17.1Q. The commitment "LLNL Engineered Systems Project technical staff shall read AP-17.1Q, and turn in verification of self-study" extended corrective actions beyond the causes identified in block 7 of the complete response. All committed actions are complete, so no extended processing request is required.

5. Impact: (Provide an impact statement relative to waste isolation and safety, and impact to other work, if any)  
No change from the complete response dated 7/17/2002.

6. Remedial Actions: (Document all actions necessary to address the results of the Extent of Condition)  
This remedial action response replaces the response submitted in the complete response dated 7/17/2002.

The record packages for the 63 DTNs were prepared and submitted to the RPC by LLNL personnel by 8/14/2002.


7.  Root Cause (For a significant CAQ, attach results of formal root cause determination prepared in accordance with AP-16.4Q)  
 Apparent Cause

No change from the complete response dated 7/17/2002.

8. Action to Preclude Recurrence: (Address those actions necessary to prevent the identified cause from recurring)  
No change from the complete response dated 7/17/2002. All actions complete.

9. Due Date for Completion of Corrective Action:  
8/14/2002

10. Responsible Manager:  
Dennis W. Thomas  
Printed Name Signature Date  
 8/14/02

11. QAR Evaluation:  Accept  Partially Accept  Reject  
*NOT SIGNIFICANT.*  
LESTER WAGNER  
Printed Name Signature Date  
 8/19/02

12. QAM Concurrence:  
RAM MURPHY James B. Daybell  
Printed Name Signature Date  
8/21/02



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DR/CAR/QO  
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**CONDITION ADVERSE TO QUALITY CONTINUATION PAGE**

**INITIAL RESPONSE** (dated 5/20/02)

**4. Immediate Actions Necessary to Bring the Process Under Control:**

Reviewed briefing outline and attendance list of committed briefing held 6/19/02. Outline content and individuals in attendance provides a confidence level to stop recurrence of this problem.

**COMPLETE RESPONSE, Amended** (dated 8/14/02)

**6. Remedial Actions**

Verified that the committed actions on the 63 DTNs were satisfactorily completed (refer to attachment 1)

**COMPLETE RESPONSE** (dated 7/16/02)

**8. Action to Preclude Recurrence:**

Reviewed the Engineering Assurance Manager's checklist to be utilized by the Responsible Manager for individuals leaving the project or assuming a different position/responsibilities. Verified the checklist contained the requirement for identifying outstanding work activities.

Verified the checklist was formally transmitted to Responsible Managers via memo LLYMP0208007, dated 8/2/02 from the CRWMS LLNL Manager.

Based on the above verification actions, it is recommended that this DR be closed.

  
QAR

8/28/02  
Date

**Attachment 1 to DR LLNL(O)-02-D-107 Close-out**

<b>DTN</b>	<b>LLNL Transmittal</b>	<b>Record Date</b>	<b>Comments</b>	<b>OQA Close-out Action</b>
LL940801004242.003	LLYMP0207060	7/19/02	In-process in RPC Package # not assigned	Verified
LL950916451021.012	N/A	N/A	Data was already in RPC	MOY-951010-07-09
LL961210851021.029	N/A	N/A	Data was already in RPC	MOY-970306-04-05
LL970203651022.010	N/A	N/A	Data was already in RPC	MOY-970115-05-03
LL970409604244.030	LLYMP0207018	7/9/02	Package to be scanned	MOY-020711-30-02
LL970409604244.030	LLYMP0207051	7/18/02	Supplements MOY-020711-30-02, In-process in RPC	Verified
LL980112305924.025	N/A	N/A	Data was already in RPC	MOY-981014-01-03
LL980204304244.055	N/A	N/A	Data was already in RPC	MOY-980317-03-10
LL980408304244.058	LLYMP0208019	8/5/02	Data was already in RPC Superseding TDIF record package submitted	MOY-980519-03-20
LL980409604244.059	N/A	N/A	Data was already in RPC	MOY-980428-04-10
LL980913104242.051	N/A	N/A	DTN changed to Unqualified	Copy of TDIF sent to A. Barker on 7/8/02
LL981202705924.054	N/A	N/A	Data not in TDMS – DIR 02-15 to DR BSC(O)-02-D-125	Verified
LL981202805924.055	N/A	N/A	Data not in TDMS - DIR 02-15 to DR BSC(O)-02-D-125	Verified
LL981203351051.013	LLYMP0208030	8/6/02	Package to be scanned	MOY-020812-09-09
LL990201404241.029	LLYMP0207111	7/30/02	In-process in RPC Package # not assigned	Verified
LL990201504241.030	LLYMP0207112	7/30/02	In-process in RPC Package # not assigned	Verified
LL990201604241.031	LLYMP0207107	7/29/02	In-process in RPC Package # not assigned	Verified
LL990201904241.033	LLYMP0207117	7/31/02	In-process in RPC Package # not assigned	Verified
LL990202004241.034	LLYMP0207101	7/29/02	In-process in RPC Package # not assigned	Verified
LL990202104241.035	LLYMP0207106	7/29/02	In-process in RPC Package # not assigned	Verified
LL990202204241.036	N/A	N/A	Data was already in RPC	MOY-010323-01-01
LL990205004241.038	LLYMP0207120	7/31/02	In-process in RPC Package # not assigned	Verified
LL990205204241.037	LLYMP0208006	8/1/02	Package to be scanned	MOY-020812-09-04
LL990301904242.084	LLYMP0208028	8/6/02	Package to be scanned	MOY-020812-09-07
LL990302004242.085	LLYMP0208029	8/6/02	DTN listed as LL990302004242.095 on Transmittal Letter. Package to be scanned	MOY-020812-09-08
LL990302204242.087	LLYMP0207053	7/10/02	Package to be scanned	MOY-010124-49-01
LL990511905924.068	LLYMP0207061	7/19/02	In-process in RPC Package # not assigned	Verified
LL990609504244.096	LLYMP0208011	8/4/02	Package to be scanned	MOY-020812-09-04
LL990614951021.073	LLYMP9910085	7/19/02	In-process in RPC Package # not assigned	Verified
LL990703005924.083	LLYMP0208013	8/5/02	Package to be scanned	MOY-020812-09-05
LL990703005924.083	LLYMP0208041	8/13/02	Supplements MOY-020812-09-05, In-process in RPC	Verified
LL990703505924.084	LLYMP0208013	8/5/02	Package to be scanned.	MOY-020812-09-05
LL990703505924.084	LLYMP0208041	8/13/02	Supplements MOY-020812-09-05, In-process in RPC.	Verified
LL990802205924.086	LLYMP0207062	7/19/02	In-process in RPC Package # not assigned	Verified
LL990806451021.076	LLYMP0207063	7/19/02	In-process in RPC Package # not assigned	Verified
LL990806551021.077	LLYMP0207064	7/19/02	In-process in RPC Package # not assigned	Verified
LL990806651021.078	LLYMP0207065	7/19/02	In-process in RPC Package # not assigned	Verified
LL990807051021.082	LLYMP0207067	7/19/02	In-process in RPC Package # not assigned	Verified

**Attachment 1 to DR LLNL(O)-02-D-107 Close-out**

<b>DTN</b>	<b>LLNL Transmittal</b>	<b>Record Date</b>	<b>Comments</b>	<b>OQA Close-out Action</b>
LL990807151021.083	LLYMP0207068	7/19/02	In-process in RPC Package # not assigned	Verified
LL991003104241.040	LLYMP9911011	7/23/02	In-process in RPC Package # not assigned	Verified
LL991005904244.102	LLYMP9911005	7/12/02	Package to be scanned	MOY-020722-03-01
LL991008104241.042	LLYMP0208009	8/2/02	Package to be scanned	MOY-020812-09-03
LL991008204241.043	LLYMP0208010	8/2/02	Package to be scanned	MOY-020812-09-02
LL991009204244.103	LLYMP0207019	7/10/02	Package to be scanned	MOY-020711-30-03
LL991009204244.103	LLYMP0207052	7/18/02	Supplements MOY-020711-30-03, In-process in RPC	Verified
LL991107804241.044	LLYMP0208020	8/5/02	Package to be scanned	MOY-000502-02-11
LL991107904241.045	LLYMP0208014	8/5/02	Package to be scanned	MOY-000502-02-11
LL991203305924.092	LLYMP0207069	7/19/02	In-process in RPC Package # not assigned	Verified
LL991203405924.093	N/A	N/A	Data was already in RPC	MOY-000302-15-04
LL000116151021.109	N/A	N/A	This data had a DTN assigned to it from FileMaker, but the DTN metadata (TDIF) has never been entered into ATDT	None
LL000116304244.106	N/A	N/A	This data had a DTN assigned to it from FileMaker, but the DTN metadata (TDIF) has never been entered into ATDT	None
LL000116404244.107	N/A	N/A	This data had a DTN assigned to it from FileMaker, but the DTN metadata (TDIF) has never been entered into ATDT	None
LL000314304242.094	LLYMP0207039	7/11/02	Package to be scanned	MOY-000330-05-02
LL000314404242.095	LLYMP0207038	7/11/02	Package to be scanned	MOY-000330-05-02
LL000321204242.092	LLYMP0207041	7/11/02	Package to be scanned	MOY-000330-05-02
LL000321704242.093	LLYMP0207040	7/11/02	Package to be scanned	MOY-000330-05-02
LL000402951021.133	N/A	N/A	Data was already in RPC	MOY-000419-03-01, MOY-020311-27-05 & MOY-020311-27-06
LL000509012312.002	LLYMP0207031	7/11/02	Package to be scanned	MOY-000619-06-01
LL000509112312.003	LLYMP0207032	7/11/02	Package to be scanned	MOY-000619-06-01
LL000509212312.004	LLYMP0207030	7/11/02	Package to be scanned	MOY-000619-06-01
LL000511312342.002	LLYMP0008063	7/25/02	In-process in RPC Package # not assigned	Verified
LL000511523141.004	LLYMP0207027	7/15/02	Package to be scanned	MOY-020722-03-03
LL000511523141.004	LLYMP0207076	7/24/02	Supplements MOY-020722-03-03, In-process in RPC	Verified
LL000810312251.009	LLYMP0207034	7/11/02	Package to be scanned	MOY-001006-22-01
LL010700623121.010	N/A	N/A	Data not in TDMS - DIR 02-15 to DR BSC(O)-02-D-125	Verified
LL010700823123.014	LLYMP0207028	7/15/02	Package to be scanned	MOY-020722-03-04
LL010700823123.014	LLYMP0207028	7/55/02	Supplements MOY-020722-03-04, In-process in RPC	Verified
LL010703623123.015	LLYMP0207033	7/11/02	Package to be scanned	MOY-010827-02-02
LL020302223142.015	N/A	N/A	Data not in TDMS - DIR 02-15 to DR BSC(O)-02-D-125	Verified