



Department of Energy

Washington, DC 20585

QA: N/A

JAN 07 2003

MEMORANDUM FOR: R. Dennis Brown (RW-3)

FROM:

James Blaylock *James Blaylock*
Office of Quality Assurance

SUBJECT:

Issuance of DR OQA(O)-03-D-062 as a Result of the Lack of Objective Evidence to Verify Records Submittal of Numerous QA Documents

Enclosed is DR OQA(O)-03-D-062 generated as a result of an observation.

Please provide a response to this deficiency that meets the applicable requirements of Administrative Procedure (AP) 16.1Q, *Management of Conditions Adverse to Quality*. Send the original of your response to Deborah G. Opielowski, Navarro Quality Services, P.O. Box 364629, Mail Stop 455, North Las Vegas, Nevada 89036-8629. Initial response to the DR is due ten working days from the date of this letter. Any extensions to this due date must be requested in accordance with AP-16.1Q.

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

OQA:JB-0446

Enclosure:

DR OQA(O)-03-D-062

cc w/encl:

N. K. Stablein, NRC, Rockville, MD
Robert Latta, NRC, Las Vegas, NV (2 cys)
S. W. Lynch, State of Nevada, Carson City, NV
L. W. Bradshaw, Nye County, Pahrump, NV
W. J. Glasser, NQS, Las Vegas, NV
L. W. Wagner, NQS, Las Vegas, NV
D. G. Opielowski, NQS, Las Vegas, NV
W. J. Arthur, III, DOE/ORD (RW-2W), Las Vegas, NV
B. M. Terrell, DOE/ORD (RW-40W), Las Vegas, NV
M. E. Van Der Puy, DOE/ORD (RW-30W), Las Vegas, NV



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

8. DEFICIENCY REPORT
 CORRECTIVE ACTION
REPORT
NO OQA(O)-03-D-062
PAGE 1 OF
QA: QA

DEFICIENCY REPORT/CORRECTIVE ACTION REPORT

| | |
|---|--|
| 1. Controlling Document: (Document ID and Revision or Date) DOE/RW-0333P, Rev 12, (Sec.17.0 Rev. 2, Effective Date:03/03/97) | 2. Related Report No.: RVW-02-02 |
| 3. Responsible Organization: OCRWM | 4. Discussed With: J. Blaylock, R. Hasson, R. Keele, R. Powe, L. Wagner |

5 Requirement:
17.2.2 Creating Valid Quality Assurance Records
A. Implementing documents shall:
1. Identify those documents that will become QA records.
2. Identify the organization responsible for submitting the QA records to the records management system....
C. Individuals handling QA records shall protect them from damage or loss until the records are submitted to the records management systems.
17.2.12 Replacement of Quality Assurance Records
Organizations originating QA records shall develop implementing documents that identify means for replacement, restoration, or substitution of lost or damaged QA records.

6. Description of Condition:
There is no objective evidence to verify that numerous QA documents generated by the Office of Quality Assurance have been submitted to the Records Processing Center as required. Attached is a list of those QA audits, surveillances, conditions adverse to quality and nonconformance reports that could not be obtained.

Has work been stopped? Yes No

| | |
|---|--|
| 7. Initiator: Cynthia A. Humphries-Alder Printed Name Signature Date 12/14/02 | 9. Does a stop work condition exist? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A If Yes, Check One: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D |
|---|--|

10. Recommended Actions:
NONE.

| | |
|--|--|
| 11. QA Review: Lester W. Wagner Printed Name Signature Date 12/15/02 | 12. Response Due Date: 10 Working Days after Issuance |
|--|--|

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|---|
| 13. QAM Issuance Approval: Printed Name R. Dennis Brown Signature James Blaylock for Date 12/24/02 |
|---|

| | |
|--|--|
| 14. Corrective Actions Verified/Closure QAR Printed Name Signature Date | 15. QAM Closure Approval: Printed Name Signature Date |
|--|--|

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

DR/CAR/QO
 SWO

NO. OQA(O)-03-D-062

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CONDITION ADVERSE TO QUALITY CONTINUATION PAGE

NOTE: These requirements were originally imposed on OCRWM project "Participants" as stipulated in ASME NQA-1-1989 and its interface with DOE/RW-0214, Rev. 3, "Quality Assurance Requirements Document" effective 4/12/90.

OQA Audit Plans and Reports

| Audit No. | Auditing Organization | Auditee | Plan Accession No. | Report Accession No. | Date Audit Scheduled/Conducted |
|----------------|-----------------------|--|--------------------|----------------------|--------------------------------|
| OQA-SA-95-006 | OCRWM/OQA YMP | UNKNOWN | INDETERMINATE | INDETERMINATE | INDETERMINATE |
| YM-SFE-95-001 | OCRWM/OQA YMP | Activation Laboratory | INDETERMINATE | INDETERMINATE | 6/21-23/1995 |
| OQA-SFE-95-002 | OCRWM/OQA YMP | Baker-Hughes INTEQ | INDETERMINATE | INDETERMINATE | 10/4-5/1995 |
| LLNL-ARP-97-20 | OCRWM/OQA | LLNL | INDETERMINATE | MOL.19980119.0035 | 9/15-19/1997 |
| LANL-ARP-97-21 | OCRWM/OQA | LANL | INDETERMINATE | INDETERMINATE | INDETERMINATE |
| OQA-SA-97-003 | OCRWM/OQA | Transnuclear, Inc. | INDETERMINATE | MOL.19970402.0075 | 11/18/1996 |
| OQA-SA-97-007 | OCRWM/OQA | Kiewit/Parsons Brinckerhoff (Kiewit/PB) | INDETERMINATE | MOL.19970722.0286 | 11/18/1996 |
| OQA-SA-97-009 | OCRWM/OQA | National Ocean Sciences | INDETERMINATE | MOL.19970417.0062 | 3/4/1997 |
| OQA-SA-97-010 | OCRWM/OQA | Beta Analytic | INDETERMINATE | MOL.19970626.0256 | 2/18/1997 |
| OQA-SA-99-026 | OCRWM/OQA | UNR | INDETERMINATE | INDETERMINATE | 9/13-15/1999 |
| OQA-SA-99-029 | OCRWM/OQA | Accutech | INDETERMINATE | INDETERMINATE | 9/15-16/1999 |

4/28

OQA Conditions Adverse to Qua'

| CAO Number | Issuing Organization | RIS Web Accession No |
|---------------|----------------------|----------------------|
| DR 89-002 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 89-003 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 89-006 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 89-007 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 89-008 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 89-009 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 89-010 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 89-011 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 89-012 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 89-016 | OCRWM/OQA/HQ | INDETERMINATE |
| OQA-SA-99-029 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 89-019 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 89-032 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 89-033 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 89-034 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 89-035 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 90-002 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 90-011 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 90-014 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 90-015 | OCRWM/OQA/HQ | INDETERMINATE |
| DR 90-016 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-91-013 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-91-014 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-91-016 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-91-017 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-91-018 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-91-019 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-91-023 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-91-024 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-91-025 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-91-027 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-91-029 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-91-031 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-91-032 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-92-002 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-92-004 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-92-009 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-92-010 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-92-011 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-92-016 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-92-018 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR HQ-93-025 | OCRWM/OQA/HQ | INDETERMINATE |
| CAR 90-001 | OCRWM/OQA/YMP | INDETERMINATE |
| CAR 90-002 | OCRWM/OQA/YMP | INDETERMINATE |
| SDR 552 | OCRWM/OQA/YMP | INDETERMINATE |
| CAR YM-91-043 | OCRWM/OQA/YMP | INDETERMINATE |
| CAR YM-91-074 | OCRWM/OQA/YMP | INDETERMINATE |
| CAR YM-91-075 | OCRWM/OQA/YMP | INDETERMINATE |
| CAR YM-91-076 | OCRWM/OQA/YMP | INDETERMINATE |
| CAR YM-92-005 | OCRWM/OQA/YMP | INDETERMINATE |

OQA Conditions Adverse to Qua'

| CAQ Number | Issuing Organization | RIS Web Accession No. |
|-------------------|----------------------|-----------------------|
| CAR YM-92-014 | OCRWM/OQA/YMP | INDETERMINATE |
| CAR YM-92-015 | OCRWM/OQA/YMP | INDETERMINATE |
| CAR YM-92-016 | OCRWM/OQA/YMP | INDETERMINATE |
| CAR YM-92-036 | OCRWM/OQA/YMP | INDETERMINATE |
| CAR YM-92-037 | OCRWM/OQA/YMP | INDETERMINATE |
| CAR YM-92-046 | OCRWM/OQA/YMP | INDETERMINATE |
| CAR YM-92-065 | OCRWM/OQA/YMP | INDETERMINATE |
| CAR YM-92-066 | OCRWM/OQA/YMP | INDETERMINATE |
| CAR YM-92-067 | OCRWM/OQA/YMP | INDETERMINATE |
| CAR YM-92-068 | OCRWM/OQA/YMP | INDETERMINATE |
| CAR YM-94-001 | OCRWM/OQA/YMP | INDETERMINATE |
| LVMO-98-D-008 | OCRWM/OQA | INDETERMINATE |
| BSC(O)-02-D-121 | OCRWM/OQA | INDETERMINATE |
| BSC(O)-02-D-123 | OCRWM/OQA | INDETERMINATE |
| BSC(O)-02-D-124 | OCRWM/OQA | INDETERMINATE |
| OCRWM(O)-02-D-143 | OCRWM/OQA | INDETERMINATE |
| YMSCO(O)-02-D-156 | OCRWM/OQA | INDETERMINATE |
| OQA(O)-02-D-158 | OCRWM/OQA | INDETERMINATE |
| BSC(O)-02-D-167 | OCRWM/OQA | INDETERMINATE |
| BSC(O)-02-D-168 | OCRWM/OQA | INDETERMINATE |
| OCRWM(O)-02-D-174 | OCRWM/OQA | INDETERMINATE |
| BSC(O)-02-D-188 | OCRWM/OQA | INDETERMINATE |
| BSC(O)-02-O-002 | OCRWM/OQA | INDETERMINATE |
| OQA(O)-02-O-058 | OCRWM/OQA | INDETERMINATE |
| BSC(O)-02-O-065 | OCRWM/OQA | INDETERMINATE |
| OQA(O)-02-O-073 | OCRWM/OQA | INDETERMINATE |
| YMSCO(O)-02-O-074 | OCRWM/OQA | INDETERMINATE |
| BSC(O)-02-O-076 | OCRWM/OQA | INDETERMINATE |

OQA Nonconformance Report

| NCR ID No | Issuing Organization | Accession No |
|---------------|----------------------|---------------|
| YMPO-94-0052 | YMPO | INDETERMINATE |
| YMSCO-99-0007 | YMSCO | INDETERMINATE |

OQA Surveillance Reports

| Surveillance Number | Issuing Organization | Accession Number |
|---------------------|----------------------|------------------|
| HQ-SR-89-001 | OCRWM/OQA/HQ | INDETERMINATE |
| YMP-SR-89-056 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-89-058 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-89-059 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-89-078 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-89-079 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-89-126 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-89-132 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-90-014 | OCRWM/OQA/YMP | INDETERMINATE |
| HQ-SR-91-009 | OCRWM/OQA/HQ | INDETERMINATE |
| OQA-SA-99-029 | OCRWM/OQA/HQ | INDETERMINATE |
| YMP-SR-91-024 | OCRWM/OQA/YMP | INDETERMINATE |
| HQ-SR-92-011 | OCRWM/OQA/HQ | INDETERMINATE |
| YMP-SR-92-016 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-92-024 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-92-028 | OCRWM/OQA/YMP | INDETERMINATE |
| HQ-SR-93-002 | OCRWM/OQA/HQ | INDETERMINATE |
| HQ-SR-93-004 | OCRWM/OQA/HQ | INDETERMINATE |
| HQ-SR-93-006 | OCRWM/OQA/HQ | INDETERMINATE |
| YMP-SR-93-004 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-93-010 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-93-034 | OCRWM/OQA/YMP | INDETERMINATE |
| HQ-SR-94-005 | OCRWM/OQA/HQ | INDETERMINATE |
| HQ-SR-94-006 | OCRWM/OQA/HQ | INDETERMINATE |
| HQ-SR-94-007 | OCRWM/OQA/HQ | INDETERMINATE |
| YMP-SR-94-057 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-94-061 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-94-068 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-95-008 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-95-041 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-95-047 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-95-048 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-96-003 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-96-006 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-96-017 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-96-021 | OCRWM/OQA/YMP | INDETERMINATE |
| YMP-SR-97-009 | OCRWM/OQA | INDETERMINATE |
| YMP-SR-97-042 | OCRWM/OQA | INDETERMINATE |
| YMP-SR-97-047 | OCRWM/OQA | INDETERMINATE |
| YMP-SR-97-048 | OCRWM/OQA | INDETERMINATE |
| YMP-SR-97-059 | OCRWM/OQA | INDETERMINATE |
| YMP-SR-98-009 | OCRWM/OQA | INDETERMINATE |
| YMP-SR-98-012 | OCRWM/OQA | INDETERMINATE |
| YMP-SR-98-015 | OCRWM/OQA | INDETERMINATE |
| LVMO-SR-99-006 | OCRWM/OQA | INDETERMINATE |
| LVMO-SR-99-008 | OCRWM/OQA | INDETERMINATE |