



Department of Energy
Yucca Mountain Site Characterization
Project Office
P. O. Box 98608
Las Vegas, NV 89193-8608

WBS 1.2.9.3
QA

JAN 16 1991

Thomas E. Blejwas
Technical Project Officer
for Yucca Mountain
Site Characterization Project
Sandia National Laboratories
P.O. Box 5800
Organization 6310
Albuquerque, NM 87185

ACCEPTANCE OF AMENDED RESPONSE AND CLOSURE OF STANDARD DEFICIENCY REPORT
(SDR) 572, REVISION 0, RESULTING FROM YUCCA MOUNTAIN QUALITY ASSURANCE
DIVISION (YMQAD) AUDIT 90-04 OF SANDIA NATIONAL LABORATORIES

The YMQAD staff has evaluated and accepted your amended response to
SDR 572, Revision 0, generated as a result of YMQAD Audit 90-04.

The SDR has been closed based on satisfactory verification of completed
corrective action. A copy of the SDR is enclosed for your files.

If you have any questions, please contact either Catherine E. Hampton at
(702) 794-7973 or FTS 544-7973, or Donald G. Horton at (702) 794-7356 or
FTS 544-7356.

Donald G. Horton, Director
Yucca Mountain Quality Assurance Division

YMQAD:CEH-1699

Enclosure:
SDR 572, Revision 0

cc w/encl:
K. R. Hooks, NRC, Washington,
S. W. Zimmerman, NWPO, Carson City, NV
R. R. Richards, SNL, 6319, Albuquerque, NM
N. J. Brogan, SAIC, Las Vegas, NV, 517/T-08

cc w/o encl:
J. H. Hines, OQD, AL
J. W. Gilray, NRC, Las Vegas, NV

9101230305 910114
PDR WASTE
WM-11
PDR

FULL TEXT ASCII SCAN

102.7
NM-11
NH03

YMPO STANDARD DEFICIENCY REPORT

N-QA-038
4/89

Completed by Originating QA Organization	1 Date 8/22/90		2 Severity Level <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3		Page 1 of 2
	3 Discovered During Audit 90-04		3a Identified By M.R. Diaz		4 SDR No. 572 Rev. 0
	5 Organization SNL		6 Person(s) Contacted G. Smit/D. Brockman		7 Response Due Date is 20 Working Days from Date of Transmittal
	8 Requirement (Audit Checklist Reference, if Applicable) Checklist 4.2.1 SNL-NWRT-QAPP, Revision E, Para. 4.1.1 states in part, "When specific QA records are required, their retention time and disposition requirements				
Completed by Organization in Block 5	9 Deficiency SNL has not specified QA Record requirements in any of the procurement documentation for suppliers or subcontractors performing quality affecting activities. At this time, this omission does not permit to determine the				
	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective Identify the remedial actions to be taken to correct the deficiencies noted in Block 9. Investigate the program, process, activities, or documentation				
	11 QAE/Lead Auditor/Date Davis Jan 9/7/90		12 Division Manager/Date N/A		13 Project Quality Mgr./Date C. H. Nystafa 9/10/90
Completed by Organization in Block 5	14 Remedial/Investigative Action(s) Following the requirements of the YMP QA Plan, Para. 17.1.2 states in part, "A completed record is a document that will either receive no more entries or whose revision would normally consist of reissue of the document; and is signed and dated by the originator, and, as applicable, by personnel authorized to approve the document." SNL's Contractor Monitor always review, approve, and authenticate the contractors records. Therefore, (Continued)				
	15 Effective Date Complete				
	16 Cause of the Condition & Corrective Action to Prevent Recurrence SNL will do a surveillance of all active procurement contracts to ensure all records are identified with submittal dates. SNL will also ensure that those contracts specifically address the contractor's responsibilities for the maintenance, safeguarding, and turnover of those records to the SNL Contract Monitor.				
Completed by Org. QA Org.	17 Effective Date 12-14-90				
	18 Signature/Date Thomas E. Bleywas 10-12-90 10-11-90				
	19 Response Accepted	QAE/Lead Auditor/Date Davis 1/7/91	Division Manager/Date N/A	Project Quality Mgr./Date C. H. Nystafa 1/9/91	
Comp. by Orig. QA Org.	20 Corrective Action Verif. Satisfactory	QAE/Lead Auditor/Date Davis 1/7/91	Division Manager/Date N/A	Project Quality Mgr./Date C. H. Nystafa 1/9/91	
	21 Remarks Response Bleywas to Norton 10/12/90 Request Amended Response QA:CEH-737-11/26/90 Extension Request Bleywas to Norton 12/14/90 - Accepted YMQAD:CEH-1424-11/3/91 CORRECTIVE ACTION VERIFICATION ATTACHED 1/7/91				
	22 QA CLOSURE	QAE/Lead Auditor/Date Davis 1-7-91	Division Manager/Date N/A	PQM/Date C. H. Nystafa 1/9/91	

ENCLOSURE

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APPENDIX A

SANDIA NATIONAL LABORATORIES
NUCLEAR WASTE REPOSITORY TECHNOLOGY DEPARTMENT 6310
PROCUREMENT PLANNING CHECKLIST

GENERAL INFORMATION:

Procurement No: _____ Change No: _____ Requester: _____
WBS No: _____ WBS ISWI: Yes _____, No _____
Procurement ISWI: Yes _____, No _____ Reason if Different: _____

Circle the appropriate ISWI, GRADE, & TYPE listed. "Yes" means use a Standard Clause from Appendix B or C, & D. "()" means if applicable.	ISWI: Yes/No	Important to Safety & Waste Isolation: Yes		ISWI: No	
	GRADE:	Noncommercial	Commercial	Commercial or Noncommercial	
SNL/YMP REQUIREMENTS:	TYPE:	Item	Service	Item/Serv.	Item/Service
<u>SEE PROCUREMENT CLAUSES APP. B / C</u>					
Scope of Work/Technical Requirements	Yes	Yes	(Yes)	• No YMP requirements.	
Period of Performance	Yes	Yes	(Yes)		
Price	Yes	Yes	(Yes)		
QA Program (SNL App B, Contr. App C)	Yes	Yes			
Subtier Quality Assurance Program	Yes	Yes			
Right of Access	Yes	Yes			
Deviations [Activities]		Yes			
Nonconformances [Items]	Yes				
Corrective Action	Yes	Yes			
Qualification and Certification	Yes	Yes			
Training	Yes	Yes		• Sign, date, and attach this form, once completed, to signify all applicable requirements were considered.	
Software Quality Assurance	Yes	Yes			
Test Equipment Performance	Yes				
Process Control	Yes				
Spare and Replacement Parts	Yes				
Procurements	Yes	Yes			
Records & Documentation Requirements	Yes	Yes			
Mandatory Hold Points	(Yes)	(Yes)			
<u>SEE ITEM/SERVICES CLAUSES APP. D</u>	[At least 1 of first 5*]				
Certificate of Conformance	*	*	*		
Source Verification	*	*	*	(RI)	
Receiving Inspection	*	*	*		
Post-Receipt Testing	*	*	*		
Acceptance of Services		*	*	(AOS)	
Acceptance of Commercial Grade			(Yes)		
Non-Sandian Point of Receipt	(Yes)	(Yes)	(Yes)	(AOCG)	

Requester Review & Approval: _____ Date: _____

Quality Assurance Reviewer: _____ Date: _____

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APPENDIX B

Record & Documentation Requirements

The contractor (and applicable subcontractors) shall:

- Adhere to Yucca Mountain Project Quality Assurance Requirements Document, Section 17, and the following listed requirements.
- Supply a manual or other suitable description of the methods of assembly, calibration, test, use or operation of the item or service.
- Submit the documents generated as a result of this contract to the contract monitor at the times specified:

Records and Documents to be Submitted:Time of Submittal:

Certification and Training Records.

Before starting any contract work. After record completion every month, within 15 days after the end of the month.

All Associated Engineering Calculations.

Monthly as completed, within 15 days after end of month.

Any Assumptions Used to Perform a Task.

Task Definitions Statements/Design Investigation

Memo/Problem Definition Memo, etc.,

Procurement Documentation.

Letter Reports.

Deviation/Nonconformance/Corrective

Action Reports.

Inspection/Audit/Surveillance Reports.

Software Validation Results, etc.,

Chain-of-Custody Forms.

Receiving Inspections

Calibration Records.

Waivers

Test Data Forms, Laboratory Notebooks, etc,
Engineering/Scientific Logbooks, Experiment
Documentation and Records. Data Records.

If data, within 15 days after the end of the month, from date of completion of data acquisition or development.

If supporting information, within 15 days after the end of the month, as completed.

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APPENDIX B

NOTES: • Any document which meets the definition of a controlled document will be submitted to the contract monitor for issuance in accordance with NWRT Department procedure 6-1.

- Technical reports, journal articles, presentations, abstracts, or any publication that contains data or any information collected as part of this contract and not identified as a contract requirement must be cleared by the Sandia Contract Representative.
- Mail all monthly progress reports, within 15 days after the end of the month, to the following NWRT Department address:

Sandia National Laboratories
Attention: (Contract Monitor, Org. No.)
P.O. Box 5800
Albuquerque, NM 87185

- Submit all records on a monthly basis, even if not specifically identified in this contract, to the contract monitor, as individual records or as record package segments, within 15 days after the end of each month. These submittals include records that will be included later in task packages or other type of packages that will be completed later than the one month submittal requirement.

Mandatory Hold Point(s)

The contractor shall:

- Not commence any work under this contract or task as specifically described until released in writing by the Contract Monitor and/or the SNL Quality Assurance Coordinator. (This release will be based on SNL approval of the applicable NWRT Department's Work Plan, Quality Assurance Grading Report, or additional quality assurance requirements as identified in this contract).

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APPENDIX C

Record & Documentation Requirements

The Contractor (and applicable subtier Contractors) shall:

- Adhere to Yucca Mountain Project Quality Assurance Requirements Document, Section 17, and the following listed requirements.
- Specify, prepare, maintain, and send the Contract Monitor sufficient records to furnish documented evidence of activities that affect quality.
- Ensure records are legible, identifiable, and retrievable.
- Protect records against damage, deterioration, or loss in accordance with one of the no cost options as specified in section 17 of the Quality Assurance Requirements Document, or obtain specific approval for another option from the Contract Monitor.
- Supply a manual or other suitable description of the methods of assembly, calibration, test, use or operation of the item or service.
- Submit the documents generated as a result of this contract to the Contract Monitor at the times specified:

Records and Documents to be Submitted:Time of Submittal:

Certification and Training Records.

Before starting any contract work. After record completion every month, within 15 days after the end of the month.

Contractor Quality Assurance Program Plan or Description

Before starting any contract quality affecting work, ASAP.

All Associated Engineering Calculations.

Monthly as completed, within 15 days after end of month.

Any Assumptions Used to Perform a Task.
Task Definitions Statements/Design Investigation

Memo/Problem Definition Memo, etc.,

Procurement Documentation.

Deviation/Nonconformance/Corrective
Action Reports.

Inspection/Audit/Surveillance Reports.

Software Validation Results.

Chain-of-Custody Forms.

Receiving Inspections

Calibration Records.

Waivers

Test Data Forms, Laboratory Notebooks, etc,
Engineering/Scientific Logbooks, Experiment
Documentation and Records. Data Records.

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If data, within 15 days after the end of the month, from date of completion of data acquisition or development. If supporting information, within 15 days after the end of the month, as completed.

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APPENDIX C

Record & Documentation Requirements (cont'd)

NOTES:

- Any document which meets the definition of a controlled document under this contract will be submitted to the Contract Monitor for issuance in accordance with NWRT Department procedure 6-1.
- Technical reports, journal articles, presentations, abstracts, or any publication that contains data or any information collected as part of this contract and not identified as a contract requirement must be cleared by the Contract Monitor.
- Mail all monthly progress reports, within 15 days after the end of the month, to the following NWRT Department address:

Sandia National Laboratories
Attention: (Contract Monitor, Org. No.)
P.O. Box 5800
Albuquerque, NM 87185
- Submit all records on a monthly basis, even if not specifically identified in this contract, to the contract monitor, as individual records or as record package segments, within 15 days after the end of each month. These submittals include records that will be included later in task packages or other type of packages that will be completed later than the one month submittal requirement.

Mandatory Hold Point(s)

The Contractor shall:

- Not commence any work under this contract or task as specifically described until released in writing by the Contract Monitor and/or the SNL Quality Assurance Coordinator. (This release will be based on SNL approval of the applicable NWRT Department's Work Plan, Quality Assurance Grading Report, or additional quality assurance requirements as identified in this contract).

Block 20, Corrective Action Verification

Block 14, Remedial/Investigative Actions

1. SNL performed Surveillance GAS 91-01 of all active procurement purchase orders/contracts on November 19 through December 14, 1990, utilizing a checklist based on the YMP Quality Assurance Requirements Document (QARD) and the updated Appendices A, B, and C to QAIP 4-1, Procurement, which included the new requirements for Records and their submittals.
2. The Surveillance GAS 91-01 resulted in the issuance of Deviation Report (DR) 91-9 for deficiencies detected during the surveillance as follows:
 - o Contracts contain Quality Assurance levels in lieu of quality affecting work or important to safety or waste isolation.
 - o Some instances of contracts missing some minor procurement statements or were vague.
 - o Some contracts failed to specifically identify every record or required documentation or submittal time.
3. The surveillance report contained a statement in regard to records that, whether the records were specifically identified with submittal dates or not, the records were being sent to the contract monitor for entry into the SNL NWRT Records Center.

Block 16 - Corrective Action to Prevent Recurrence

QAIP-4-1, Procurement, Revision 00 - Procedure Change Request was approved 1/3/91 by R. R. Richards, Quality Assurance Manager. The change revised Appendix A, "Procurement Planning Checklist"; Appendix B, "Standard Procurement Clauses" for contractors performing to SNL QA Program and Appendix C, "Standard Procurement Clauses" for contractors performing to the contractors QA Program approved by SNL.

- o The change in regard to records on both Appendix B and C for Records submittals to SNL, requires the contractor to submit data or records within fifteen days after the end of the month.
- o Submit all records on a monthly basis, even if not specifically identified in this contract, to the Contract Monitor, as individual records or as record package segments, within fifteen days after the end of each month. These submittals include records that will be included later in task packages or other type of packages that will be completed later than the one month submittal requirement.
- o Additional Appendix B changes regarding records.

The Contractor (and applicable subtier Contractors) shall:

- o Adhere to Yucca Mountain Project Quality Assurance Requirements Document, Section 17, and the following listed requirements.
- o Submit the documents generated as a result of this contract to the Contract Monitor at the times specified:

Additional Appendix C changes regarding Records:

The Contractor (and applicable subtier Contractors) shall:

- o Adhere to Yucca mountain Project Quality Assurance Requirements Document, Section 17, and the following listed requirements.
- o Specify, prepare, maintain, and send the Contract Monitor sufficient records to furnish documented evidence of activities that affect quality.
- o Ensure records legible, identifiable, and retrievable.
- o Protect records against damage, deterioration, or loss in accordance with one of the no cost options as specified in Section 17 of the Quality Assurance Requirement Document, or obtain specific approval for another option from the Contract Monitor.
- o Submit the documents generated as a result of this contract to the Contract Monitor at the times specified:

NOTE: The QAIP 4-1 identifies Appendix's A, B, and C as samples, with the statement "contact the Controlled Document staff to obtain this form." The forms in Revision 00 of the QAIP have been purged and only the new forms (Exhibits A, B, and C) are available to the users.

D. J. Harris
11/7/91