



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

WBS 1.2.9.3
QA

MAR 04 1991

Larry R. Hayes
Technical Project Officer
for Yucca Mountain
Site Characterization Project
U.S. Geological Survey
101 Convention Center Drive
Suite 860
Las Vegas, NV 89109

CLOSURE OF STANDARD DEFICIENCY REPORT (SDR) 416, REVISION 0, RESULTING
FROM YUCCA MOUNTAIN QUALITY ASSURANCE DIVISION (YMQAD) AUDIT 89-04 OF
U.S. GEOLOGICAL SURVEY (USGS)

SDR 416, Revision 0, has been closed based on satisfactory verification of
completed corrective actions. A copy of the SDR is enclosed for your files.

If you have any questions, please contact Catherine E. Hampton at
(702) 794-7973 or FTS 544-7973, or Neil D. Cox at (702) 794-7236 or
FTS 544-7236.

Donald G. Horton, Director
Yucca Mountain Quality Assurance Division

YMQAD:CEH-2394

Enclosure:
SDR 416, Revision 0

cc w/encl:

D. H. Appel, USGS, Denver, CO
S. W. Zimmerman, NWPO, Carson City, NV
K. R. Hooks, NRC, Washington, DC
N. J. Brogan, SAIC, Las Vegas, NV, 517/T-08

cc w/o encl:

D. D. Porter, SAIC, Golden, CO
J. W. Gilray, NRC, Las Vegas, NV

9103120066 910304
PDR WASTE PDR
WM-11

MPO STANDARD DEFICIENCY REPORT

N-QA-038
4/89

Completed by Originating QA Organization	1 Date August 17, 1989		2 Severity Level <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2 <input type="checkbox"/> 3		Page 1 of 2	
	3 Discovered During Audit 89-4		3a Identified By J. E. Clark		4 SDR No. 416 Rev. 0	
	5 Organization USGS		6 Person(s) Contacted Peggy Warner, Mildred Murray		7 Response Due Date is 20 Working Days from Date of Transmittal	
	8 Requirement (Audit Checklist Reference, if Applicable) AI #17-5, USGS-QMP-17.04, Revision 3, Sec. 5.3.4, states in part "Quality Verification: The LRC shall check the records, using the Quality Verification Checklist (Attachment 4), to ascertain acceptability of records prior to					
Completed by Organization in Block 5	9 Deficiency Contrary to the requirement, there was no objective evidence that calibration QA Record Forms had been checked before being processed and retained as a QA record. The filed forms had numerous deficiencies when compared to the					
	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective 1. Revise procedure to establish a method for identifying those records which					
	11 QAE/Lead Auditor/Date <i>R. A. Clark 8/28/89</i>		12 Division Manager/Date <i>R. A. Clark 8-28-89</i>		13 Project Quality Mgr./Date <i>James B. Layford 8/28/89</i>	
Completed by Organization in Block 5	14 Remedial/Investigative Action(s) See attached response.				15 Effective Date 3-1-90	
	16 Cause of the Condition & Corrective Action to Prevent Recurrence See attached response.				17 Effective Date Complete	
Comp. by Org. QA Org.	18 Signature/Date <i>Robert B. Ray Jr. for Larry R. Hager</i> 10-10-89 Technical Project Officer Yucca Mtn. Project Branch U.S. Geological Survey					
	19 Response Accepted		QAE/Lead Auditor/Date <i>J. E. Clark 12/14/89</i>		Division Manager/Date <i>J. Dan 12/14/89</i>	
	20 Corrective Action Verif. Satisfactory		QAE/Lead Auditor/Date <i>J. B. Layford 2/21/91</i>		Division Manager/Date N/A	
	21 Remarks <i>Accept Response letter dated 11/15/90 - YMP: JB-1275</i> <i>Amended Response 10/11/90 - Hager to Norton. Accepted 12/13/90 - YMP: CEN-958</i> <i>Amended Response accepted: 10/12/90;</i> <i>VERIFICATION NOTE TO FILE DATED 2/21/91</i>					
Comp. by Org. QA Org.	22 QA CLOSURE		QAE/Lead Auditor/Date <i>J. B. Layford 2/21/91</i>		Division Manager/Date N/A	
					PQM/Date <i>James B. Layford 2/22/91</i>	

ENCLOSURE

YPO STANDARD DEFICIENCY REPORT
CONTINUATION SHEET

N-QA-038
12/88

SDR No. 416

Rev. 0

Page 2 of 2

8 Requirement (continued)
submittal to the CRF.

9 Deficiency (continued)

Quality Verification Checklist; e.g., no transmittal forms and authentication signatures, and no WBS numbers.

10 Recommended Actions (continued)

have been subjected to checklist review.

2.

Train records personnel to revised procedure.

3.

Check filed calibration records against Quality Verification Checklist.

4.

Determine the extent of noncompliance among the other QA records.

RESPONSE FOR YMPO STANDARD DEFICIENCY REPORT NO. 416

Please note that SDR 416 has identified USGS QMP-17.04, Revision 3; the correct number is QMP-17.01, Revision 3.

BLOCK 14 REMEDIAL/INVESTIGATIVE ACTION(S):

QA records, including the calibration records, that have been received or collected by the USGS Local Records Center (LRC) prior to 8-21-89, have been segregated from QA records received after 8-21-89. Using the Quality Verification Checklist required by the Modification, these segregated records will be reviewed and placed in the reviewed record files for packaging and shipment to the Central Records Facility (CRF). It is estimated that it will take six months, until 3-1-90, to complete the review of the segregated records for acceptance as QA records into the LRC. Calibration records will be reviewed first and it is anticipated that this specific effort will be completed by 11-30-89. This review will be coordinated with the QA Office to meet the commitments stated in SDR 418.

BLOCK 15 EFFECTIVE DATE: 3-1-90

BLOCK 16 CAUSE OF THE CONDITION & CORRECTIVE ACTION TO PREVENT RECURRENCE:

The condition was caused by the QMP-17.01 requirements pertaining to the Quality Verification Review being interpreted as needed "prior to submittal to CRF", rather than upon receipt and acceptance into the LRC.

A QMP Modification to clarify the requirements was processed during the course of the DOE/YMP Audit. YMP-USGS Modification QMP-17.01, Mod.01, R0, was approved 8-18-89 and effective 8-21-89. On 8-21-89 the YMP-USGS Records Coordinator conducted a review of the Modification with the LRC staff to provide immediate implementation. All new records received by the LRC as of 8-21-89 are being reviewed against the Quality Verification Checklist criteria prior to acceptance into the LRC as a QA Record/Package.

BLOCK 17 EFFECTIVE DATE: Complete



United States Department of the Interior

GEOLOGICAL SURVEY
BOX 25046 M.S. 425
DENVER FEDERAL CENTER
DENVER, COLORADO 80225



IN REPLY REFER TO:
October 10, 1989

WBS #1.2.9.3
QA - QA

Carl P. Gertz, Project Manager
Yucca Mountain Project Office
U. S. Department of Energy
P. O. Box 98518
Las Vegas, NV 89193-8518

ATTENTION: Edwin L. Wilmot, Acting Director, QA Division

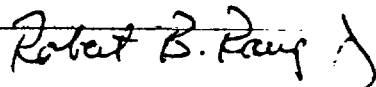
SUBJECT: RESPONSES FOR YMPO STANDARD DEFICIENCY REPORTS (SDRs)
NO. 415 THROUGH 418, QA AUDIT 89-04

REFERENCE: DOE letter 9-11-89 from E.L.Wilmot to L.R.Hayes (YMP:JB-0676)
Action Item NNI-1989-3455

Dear Carl:

The responses for the subject SDRs are enclosed. Because I will be out of the office until November 6th, please contact Joe Willmon, USGS Quality Assurance Manager, if you have any questions.

Sincerely,


for Larry R. Hayes
Technical Project Officer
Yucca Mountain Project Branch
U.S. Geological Survey

Enclosures

cc: E. H. Roseboom, USGS, Reston, VA
V. R. Schneider, USGS, Reston, VA
M. W. Reynolds, USGS, Reston, VA
J. R. Willmon, USGS, Denver, CO
R. B. Raup, USGS, Denver, CO
D. G. Jorgensen, USGS, Denver, CO
J. Blaylock, DOE/YMP, Las Vegas, NV
R. W. Gray, IMD, NV
S. Berkel, IMD, NV
D. Hedges, SAIC, Las Vegas, NV
J. J. Brogan, SAIC, Las Vegas, NV
A. M. Whiteside, SAIC, Denver, CO
QA File 3.16.01
QA Logbook
USGS Local Records Center

October 10, 1989
Carl P. Gertz/Attention: E.L. Wilmot
Responses to SDRs 415 418

cc: R.V. Watkins, USGS, Denver, CO
M.H. Mustard, USGS, Denver, CO
A.H. Handy, USGS, Denver, CO
W. Rodman, USGS, Denver, CO
C.G. Bufe, USGS, Denver, CO
J.S. Stuckless, USGS, Denver, CO
J. Whelan, USGS, Denver, CO
K.W. Causseaux, USGS, Denver, CO
T. Mendez-Vigo, USGS, Denver, CO
J.J. Barth, USGS, Denver, CO
D.J. Milton, USGS, Reston, VA
M.F. Diggles, USGS, Menlo Park, CA
M.C. Brooks, SAIC, Denver, CO
P.J. Warner, SAIC, Denver, CO
B.J. Zeigler, SAIC, Denver, CO
J.M. Ziemba, SAIC, Denver, CO
D.D. Porter, SAIC, Denver, CO
S. Crawford, SAIC, Las Vegas, NV



United States Department of the Interior

GEOLOGICAL SURVEY
BOX 25046 M.S. 425
DENVER FEDERAL CENTER
DENVER, COLORADO 80225



WBS#: 1.2.9.3.2
QA: QA

IN REPLY REFER TO:

October 1, 1990

QA RECEIVED

OCT 03 1990

Donald G. Horton, Director
Quality Assurance Division
Yucca Mountain Project Office
U. S. Department of Energy
P. O. Box 98608
Las Vegas, NV 89193-8608

SUBJECT: Supplemental Response to DOE/YMP Standard Deficiency Report
(SDR) No. 416 (USGS LRC Quality Verification Checklist Review)

The enclosed response is being submitted to update the status of corrective actions and to supplement the previous responses. If you have any questions, please contact Dave Appel, USGS Quality Assurance Manager at FTS 776-1418.

Sincerely,

Ray E. Ritchey
for Larry R. Hayes
Technical Project Officer
Yucca Mountain Project
U.S. Geological Survey

Enclosure

cc: E.H. Roseboom, USGS/Reston
M.W. Reynolds, USGS/Reston
N.J. Trask, USGS/Reston
D.H. Appel, USGS/Denver
J. Blaylock, DOE-YMP/Las Vegas
R.W. Gray, IMD/NV
Susan Berkel, IMD/NV
N.D. Cox, SAIC/Las Vegas
J.J. Brogan, SAIC/Las Vegas
P.J. Warner, SAIC/Golden
A.M. Whiteside, SAIC/Golden
QA Logbook
USGS LRC QA File 3.16.01 (SDR 416)

SUPPLEMENTAL RESPONSE TO DOE/YMP STANDARD DEFICIENCY REPORT (SDR) 416

The following information is provided to explain the current status of actions and to supplement the previous response for this SDR.

BLOCK 14. REMEDIAL/INVESTIGATIVE ACTION(S):

The Quality Verification Checklist (QVC) review by the USGS Local Records Center (LRC) is complete for the individual QA records and QA record packages, including calibration records, submitted to the LRC between 5/3/89 and 8/21/89.

Records that are on hold as a result of open deficiency documents are not considered part of this SDR and will require resolution of deficiency documents by Record Sources before being resubmitted to the LRC. Record processing, including QVC review, will take place upon resubmittal.

Pre-5/3/89 records are not considered part of this SDR because they were generated prior to the qualified USGS QA program. These records are being processed to meet current record processing requirements per the guidance of the Records Management Plan. Future use of pre-5/3/89 records for licensing purposes will rely upon the qualification process under DOE/YMP AP-5.9Q.

BLOCK 15. EFFECTIVE DATE: Complete for records submitted to LRC between 5/3/89 and 8/21/89.

BLOCK 16 AND 17: No change from original response.

VERIFICATION

February 21, 1991

Note to File

STANDARD DEFICIENCY REPORT (SDR) 416

SDR 416 is being closed based on the following actions by United States Geological Survey (USGS).

As a result of SDR 416, USGS split USGS Quality Management Procedure (QMP)-17-03, Revision 3 into two procedures: USGS QMP-17-01 now defines the record source requirements and USGS QMP-17-03 defines the process for the acceptance and processing of Quality Assurance (QA) records into the Local Records Center (LRC).

SDR 416 focused on the acceptance and processing of "Calibration QA Record Forms" into the LRC. By procedural requirement of USGS QMP-17-03, Revision 0, a Quality Verification Checklist is prepared.

Quality Verification Checklists for calibration records packages generated from May 3, 1989 to August 21, 1989 were sampled. Samples were selected from accession numbers GS-90.A-003759 to 004195. No discrepancies were identified. Likewise, the complete set of packages generated after August 21, 1989 were also examined (accession numbers GS-90.A-08716 to 08720). The procedure was revised such that the "QA calibration record" forms were deleted as a QA record. The description of the "calibration record" is a misnomer since, in fact, the record is a status indicator and not truly a calibration record.


James Blaylock

Yucca Mountain Quality Assurance Division

YMQAD:JB-