

YUCCA MOUNTAIN QUALITY ASSURANCE DIVISION

QUALITY ASSURANCE SURVEILLANCE REPORT OF

SANDIA NATIONAL LABORATORIES

SURVEILLANCE NUMBER YMP-SR-91-005

CONDUCTED DECEMBER 10 THROUGH 14, 1990

ACTIVITIES SURVEILLED:

QUALITY ASSURANCE PROGRAM; DESIGN CONTROL; PROCUREMENT
DOCUMENT CONTROL; CONTROL OF PURCHASED MATERIAL, EQUIPMENT
AND SERVICES; CONTROL OF MEASURING AND TEST EQUIPMENT; NONCONFORMING
MATERIALS, PARTS OR COMPONENTS; AND QUALITY ASSURANCE RECORDS

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1.0 INTRODUCTION

This report contains the results of the Yucca Mountain Quality Assurance Division (YMQAD) Surveillance YMP-SR-91-005 of Sandia National Laboratories (SNL), conducted in Albuquerque, New Mexico, from December 10 through 14, 1990, to verify compliance and effective implementation of approved SNL implementing procedures.

2.0 PURPOSE AND SCOPE

The purpose of this surveillance was to evaluate the effectiveness of the implementation of certain SNL quality procedures associated with selected criteria. The scope of the surveillance included the following criteria and their attendant procedures:

<u>Criterion</u>	<u>Title</u>
II	Quality Assurance Program <ul style="list-style-type: none">o Quality Assurance Procedure QAP 02-07, Revision D, "Qualification of Quality Assurance Program Audit Personnel"
III	Design Control <ul style="list-style-type: none">o Department Operating Procedure DOP 03-03, Revision C, "Analysis Definition Requirements" and Interim Change Notice (ICN) 01o DOP 03-10, Revision B, "Routine Calculations"o Department Investigation Memo DIM-251, Revision 00, "Evaluation of Repository/ESF-Feature Performance Discriminators"o DIM-252, Revision 00, "Application of Management and Policy Based Judgments to the ESF Alternative Study"o Quality Assurance Implementing Procedure QAIP 03-04, Revision 00, "Design Investigation Control"o Interaction Task Memo ITM-010, Revision 0, "ESF Alternatives Study"o Problem Determination Memo PDM 75-23, Revision 00, "Analysis in Support of Scoring for the Exploratory Shaft Facility-- Alternatives Configuration Study"o Work Plan WP90 12611, Revision 0, "Exploratory Shaft Management, Planning/Technical Assessment" (FY90)
IV	Procurement Document Control <ul style="list-style-type: none">o QAIP 04-01, Revision 00, "Procurement" and ICN 01
VII	Control of Purchased Material, Equipment and Services <ul style="list-style-type: none">o QAIP 07-03, Revision 00, "Evaluation of Contractor QA Program Documents"

- XII Control of Measuring and Test Equipment
 - o DOP 12-01, Revision D, "Measuring and Test Equipment Control" and ICN 01
- XV Nonconforming Materials, Parts or Components
 - o QAIP 15-01, Revision A, "Nonconformance Control and Reporting"
- XVIII Quality Assurance Records
 - o DOP 17-01, Revision C, "Records Management System" and ICNs 01, 02, and 03
 - o QAIP 17-02, Revision 00, "Data Records Management System"

In addition to the above procedures, the surveillance included an attempt to verify the corrective action and closure of Standard Deficiency Reports (SDRs) identified by SNL as ready for closure.

3.0 SURVEILLANCE PERSONNEL

The surveillance was conducted by the following personnel:

Kenneth T. McFall, Quality Assurance (QA) Scientist (Surveillance Team Leader), Science Applications International Corporation (SAIC)/YMQAD
Martha J. Mitchell, QA Scientist, SAIC/YMQAD
Richard L. Weeks, QA Scientist, SAIC/YMQAD
Donald J. Harris, Senior QA Engineer, Harza Engineering Company/YMQAD

4.0 SUMMARY OF SURVEILLANCE RESULTS

The implementing procedures listed in Section 2.0 of this report were the source of questions used to conduct this surveillance. Checklists generated from these documents were used to determine compliance. The following results were obtained during the surveillance:

1. QAP 02-07, Revision D, "Qualification of Quality Assurance Audit Personnel"

Examined SNL QA Auditor files for Auditors, Lead Auditors, and Technical Specialists. All files were found to be current, complete, and up to date, with the exception of the Lead Auditor Qualification/Certification for Curtis H. Barnes. The latter had been allowed to lapse past the required recertification time frame. SNL QA initiated an internal Deficiency Report (DR) No. 91-8 and performed the required recertification prior to the end of the surveillance. Due to these actions, it was felt that no benefit would be gained by the issuance of a YMQAD deficiency document. All other areas of this

procedure were found to be in compliance. A complete breakdown of the requirements examined and the individual's files that were reviewed can be found in Attachment 1 to this surveillance report.

2. Exploratory Shaft Facility Alternatives Study (ESF-AS)

The scope of the surveillance in this area included activities in the alternatives study that have taken place since Surveillance YMP-SR-90-039. This includes the inclusion of the Calico Hills Risk Benefit Assessment results that applied to the ESF-AS.

Surveillance of the ESF-AS during YMP-SR-91-005 was done as continuation of the verification of activities in this area, which include Yucca Mountain Project Office Surveillance No. YMP-SR-90-039 and Audit No. 90-04. During these verification activities numerous concerns have been identified concerning the documentation and records for this activity. SNL staff demonstrated heightened awareness of these concerns and of the potential risks associated with the existing documentation issues identified during Surveillance No. YMP-SR-91-005.

The ESF-AS has progressed in the following areas since the last verification activity:

- a. Design Investigation Memo DIM-254, "Scoring of Options for the ESF-AS," has been revised.
- b. PDM No. 75-23, "Analyses in Support of Scoring for the Exploratory Shaft Facility--Alternatives Configuration Study," has been written and approved.
- c. The grading package for Work Breakdown Structure (WBS) No. 12611, which includes the Alternative Studies, had been drafted and internally reviewed at SNL prior to transmittal to the Yucca Mountain Site Characterization Project Office (YMPO) Quality Review Board.
- d. The information from the Calico Hills Risk-Benefit Assessment has been included in the ESF-AS, doubling the 17 screened options to 34, and the 34 options have been ranked.
- e. The internal review of ESF-AS Task 4, Deliverable III is in progress and is scheduled for completion prior to the completion of Item f below.
- f. The executive summary of the findings of the ESF-AS is being drafted. The reviewers and review criteria for this report were not available during the surveillance because of the status of the document.

The surveillance was impacted by time delays in receiving meeting transcripts for the "Management" and other panel meetings, in which verbal guidance and discussion took place with YMQAD Staff concerning the Inclusion of the Calico Hills Risk-Benefit Assessment information into the ESF-AS. These began in August and include the meeting on August 8. The executive summary is being written without the transcripts being available.

Open items from previous verification activities:

DOP 3-5, Revision B, Paragraph 4.2.3.7 and QAIP 3-4, Revision 0, Paragraph 4.1, state that the Principal Investigator (PI) is responsible for documentation of assumptions and results of literature searches and there is no requirement for these to be included in procedures. During Audit No. 90-04 it was agreed that this documentation should be included in procedures, rather than just the responsibility of the PI. However, changes have not been made to the referenced DOP and QAIP.

3. QAIP 04-01, Revision 00, "Procurement," and ICN 01

Four SNL procurement contracts were examined. These contracts include Oak Ridge National Laboratory (contract No. 35-0023), National Center for Atmospheric Research (contract No. 35-0035), J. F. T. Agapito (contract No. 42-0089) and Teledyne (contract No. 78-6654). All examined areas of this procedure were found to be in compliance with requirements. A detailed listing of the areas of the above contracts that were reviewed can be found in Attachment 1 to this surveillance report.

4. QAIP 07-03, Revision 00, "Evaluation of Contractor QA Program Documents"

Three SNL contractors' QA Program Documents were examined. The contractors were Oak Ridge National Laboratory, J. F. T. Agapito, and Teledyne; contract numbers are the same as listed for QAIP 04-01 above. No deficiencies were noted for the areas examined for J. F. T. Agapito and Teledyne. However, there was one deficiency noted for the contract with Oak Ridge National Laboratory. This deficiency resulted in the issuance of Corrective Action Request (CAR) YM-91-020, which is detailed in Section 8.0 of this report. A listing of the parameters examined and their results can be found in Attachment 1 to this surveillance report.

5. DOP 12-01, Revision D, "Measuring and Test Equipment Control" and ICN 01

Criteria XII was not audited during the 1990 audit of SNL. This was because of the extensive surveillance activity during the year and because the vendors for a new calibration service contract were being evaluated at the time of the audit. The checklist questions prepared for the audit and additions were used as a basis for this surveillance.

The contract with Teledyne for calibration services is now in place and has been used to a limited extent for instruments at the Nevada Test Site (NTS). The contract was evaluated during this surveillance and relevant information is included in the report sections for Procurement and Procurement Records. No full list of equipment in calibration systems has been prepared to date because of the newness of contract and changes to the QAPs and Technical Procedures (TPs) that impact calibration activities. This is a concern to the surveillance team. SNL has committed to completion of the list by February 28, 1991. The three calibration reports available at the time of the surveillance were evaluated from a programmatic standpoint. The reports contained references back to the National Institute of Standards and Technology (NIST) that would provide the traceability for calibration to recognized standards within the Teledyne records. References to "Mil Stds," (e.g., as Mil Std 45662A) used for calibration were part of the reports when appropriate. No deficiencies were identified. The instruments are located at the NTS and were not physically available during the surveillance. The calibration reports, which were received just prior to the surveillance, had not been entered in the records system and were not retrieved as part of the surveillance activity.

The surveillance team recommends a future surveillance of the calibration activities, both at SNL and at the NTS, as the new calibration system becomes more exercised and mature.

6. QAIP 15-01, Revision A, "Nonconformance Control and Reporting"

Two Nonconformance Reports (NCRs) were generated during FY90, specifically, 90-1 and 90-2. NCR 90-1 was designated QA Level III and involved warranty work. NCR 90-2 addressed routine maintenance and was voided. All required documentation was available and was examined during the course of the surveillance.

7. DOP 17-01, Revision C, "Records Management System" and ICNs 01, 02, and 03

Selected documents were requested from, and provided by, the SNL Local Records Center (LRC). A total of eight documents were examined and all were found to be in compliance with this procedure. The actual documents requested and the parameters examined can be found in Attachment 1 of this surveillance report.

8. QAIP 17-02, Revision 00, Data Records Management System

Three documents were selected, provided and examined for compliance to this procedure. All three were found to be in compliance. The exact documents and the parameters examined can be located in Attachment 1 of this surveillance report.

5.0 STANDARD DEFICIENCY REPORT CLOSURES

A total of 11 SNL SDRs were closed during the course of the surveillance. In addition, two SDRs were closed at Los Alamos National Laboratory (Los Alamos) in a related portion of the surveillance. A detailed numbering and description of the closed SDRs can be found in Attachment 2 of this surveillance report.

During this surveillance Observations 89-3-03 and 89-3-06 were closed. Rock mechanics calculations were the subject of the observations. Part of these results have been entered in the Reference Information Base (RIB) under the control number DR16. The calculations were conducted in response to a PDM No. 75-07, "Empirical Analysis of Rock Strength," which has been closed. The work was identified as Quality Level III and the calculations were conducted as routine calculations, governed by DOP 3-10, "Routine Calculations." This was done at the option of the scientists performing the analysis. From a programmatic standpoint, the observations have been closed only because the work was Quality Level III and was identified as such in the RIB. The QA Program was not applicable to this activity. SNL staff assured the surveillance team that the data would not be used for quality-affecting work and experiments resulting in the information would be redone under a QA Program.

During the investigation of the observations it was noted that DOP 3-10 did not contain a requirement to identify and carry units in routine calculations. See CAR YM-91-019 in Section 8.0 of this report.

5.1 Concerns

The following areas of concern were identified during the surveillance:

1. It appears that data can enter the RIB, even if it is identified as Quality Level III and only governed by good scientific practice rather than a quality assurance program. Some method of control is needed for such data, so that it will be identified and verified before use for work that is quality-affecting.
2. The following concerns involving the SNL LRC were discussed at the surveillance closure meeting:

QA Records that are generated for procedures that have been issued and are being used to conduct work by SNL are classified as in-process records and are maintained as record segment packages. These record segment packages are not submitted to the LRC until a new revision of the procedure is issued and distribution for the procedure is complete. This process results in completed QA documents not being submitted to the LRC in a timely manner. It was recommended that records associated with review and issuance of procedures be submitted to the LRC as soon as the procedure is issued.

3. QAIP 17-02, Revision 0, Section 5.1.3, requires that the Data Records Management System (DRMS) Record Package Status Tracking Form be completed and updated quarterly. However, this form is not captured as a QA record. It was suggested that the form either be captured as a QA record or that a statement be made to clarify the non-QA intent of this form.

5.2 Potential CAR Conditions That Were Corrected During The Course Of The Surveillance.

1. The following draft documents were not marked "DRAFT" as required in DOP 17-01, Revision C, Section 5.1.10:

RMS SL 024989 SAND 88-0624

This situation was corrected during the course of the surveillance.

2. Record RMS SL 024790 had an empty block on the Transmittal Acknowledgment form. This was corrected and the Central Records Facility (CRF) was notified that a corrected record was being sent to them. The record package containing this record had not been microfilmed by the CRF prior to this notification

3. QAP 02-07, Revision D, required the recertification of Lead Auditors within a specified timeframe. The recertification of Curtis H. Barnes had not been performed on time. SNL issued DR 91-8, and Mr. Barnes was recertified prior to the end of the surveillance.

6.0 PERSONNEL CONTACTED DURING THE SURVEILLANCE

The following personnel were contacted during this surveillance:

Dennis, Albert W., Los Alamos Technical Associates (LATA)/SNL, Repository Engineering Staff
Hotchkiss, Alice P., SNL, Records Manager
Morales, Arthur R., LATA/SNL, Repository Engineering Staff
Nimick, Francis B., SNL, Geoscience Assessment and Validation Acting Supervisor
Richards, Robert R., SNL, QA Supervisor
Schardein, Kay, TRI/SNL, DRMS Manager
Shaw, Debra S., SNL, Administrative Support
Smit, Gene A., SNL, QA Staff
Stevens, Aldred L., SNL, Repository Engineering Division Supervisor
Taylor, Corrine F., LATA/SNL, QA Staff
Waight, James V., MAC Technical Services Company/SNL, QA Staff

7.0 MEASURING AND TEST EQUIPMENT USED DURING THE SURVEILLANCE

None

8.0 SYNOPSIS OF DEFICIENCY

The following CARs were generated as a result of this surveillance:

YM-91-019 SNL Quality Assurance Program Plan (QAPP), Revision E, Paragraph 3.4.1, requires interpretation/analysis to be performed and documented in sufficient detail as to purpose, method, assumptions, input, reference, and units, such that a technically qualified person may review, understand and verify its analysis without recourse to the originator. Contrary to this requirement, DOP 3-10, "Routine Calculations," does not require units to be carried through in calculations. This CAR will be issued under a separate letter, but an information copy is included in this report.

YM-91-020 SNL QAIP 7-3, Revision 00, "Evaluation of Contractor QA Program Documents," Paragraph 4.4, requires the SNL Division Supervisor of Line Organization to sign SNL's document acceptance letter. This was not done for the Oak Ridge National Laboratory contract. A new revision to QAIP 7-3 was issued during the course of the surveillance with the intention of removing the requirement, but this could not be done due to the requirement being committed to in SNL's upper-tier documents. SNL has committed to working to the requirement. This CAR will be issued under a separate letter, but an information copy is included in this report.

9.0 RECOMMENDATIONS

This surveillance generated the following recommendations:

1. It was recommended that records associated with review and issuance of procedures be submitted to the LRC as soon as the procedure is issued.
2. It was recommended that the DRMS Record Package Status Form be either captured as a QA record or that a statement be made in the procedure (QAIP 17-02) to clarify the non-QA intent of this form.

10.0 REQUIRED ACTIONS

Responses to the CARs delineated in Section 8.0 of this report are due within the time frame stated in Block 10 of each CAR, as detailed in the CAR transmittal letter. Upon response, and satisfactory verification of all remedial and corrective actions, the CARs will be closed and YMQAD will notify SNL (by letter) of the closure.

ATTACHMENT 1

YMP-SR-91-005 SUPPLEMENTAL DOCUMENTATION

QAP 02-07, Revision D, "Qualification of Quality Assurance Program Audit Personnel"

The following individual's files and data were examined in connection with QAP 02-07, Revision D:

Barnes, Curtis H., Jr., Lead Auditor
Forman, Charles, Auditor
Hawkinson, David R., Auditor
Hinkebein, Thomas E., Technical Specialist
Kalinski, Richard C., Technical Specialist
McKee, Clark B., Lead Auditor
Nimick, Francis B., Technical Specialist
Price, Ron, Technical Specialist
Richards, Robert R., Lead Auditor
Sandoval, Robert P., Auditor
Warner, Greg, Auditor

The above files were examined for the following:

1. Education
2. Experience
3. Orientation, training programs and on-the-job training
4. Certification of oral and written skills for Lead Auditors
5. Certification of auditor's skills for Lead Auditors
6. Certification of knowledge and understanding of appropriate Project background information for Lead Auditors
7. Certification of knowledge of principals and techniques of auditing for Lead Auditors
8. Certification of knowledge of SNL documents and QA program for Lead Auditors
9. Lead Auditor Examination results
10. Audit Record for qualification and recertification for Lead Auditors

All the above mentioned files were found to be in compliance with the 10 listed requirements, with the exception of recertification of Lead Auditor status for Curtis H. Barnes, Jr. SNL DR 91-8 was issued and Mr. Barnes was recertified as a Lead Auditor prior to the completion of the surveillance.

SNL QAIP 4-1, Revision 00, "Procurement"

Procurement packages generated through this procedure were examined. Packages were related to the following contractors:

Oak Ridge National Laboratory, Contract No. 35-0023
National Center for Atmospheric Research, Contract No. 35-0035
J. F. T. Agapito, Contract No. 42-0089
Teledyne, Contract No. 78-6654

The packages were examined for compliance to the following requirements:

1. Presence of Procurement Planning Checklists.
2. Dated signatures by the requester on the Procurement Planning Checklists.
3. Audits performed to verify conformance of contractors to requirements of surveillances, audits, receiving instructions, nonconformances, dispositions, waivers, and corrective action.
4. Actions in Item 3 above are documented as QA records.
5. Existence of justification memos where applicable and the inclusion of the appropriate signatures for consultants.
6. Sole Source/Sole Make Justification, proper forms and routing.
7. Dated signatures by the QA reviewer on the Procurement Planning Checklists.
8. Supervisor approval shall not be given to the Purchase Requisition/ Materials Requisition prior to the SNL Nuclear Waste Repository Technology Department QA approval, verify approval, and sequence of approval.
9. Verify that acceptance criteria is included in the procurement documentation.

All contractors were found to be in compliance with the above requirements, as applicable.

QAIP 7-3, Revision 00, Evaluation of Contractor QA Program Documents

The following Contractor QA programs were evaluated against requirements found in QAIP 7-3, Revision 00:

- o Teledyne
- o J. F. T. Agapito
- o Oak Ridge National Laboratory

Of these three contractors, this procedure does not apply to Teledyne because they have committed to follow the SNL QA program.

The following areas of this procedure were examined:

1. Review of contractor QA documents against the appropriate QA requirements.
2. Ensure that acceptance criteria are adequate and documented.
3. Verify that a checklist or other form is used to record information.
4. Verify that a document evaluation transmittal letter is signed by the Contract Monitor and contains review comments and evaluation results.
5. Notification to the contractor of either acceptance or rejection of their QA program documents.
6. Division Supervisor of the Line Organization shall sign SNL's acceptance letter.

SNL and J. F. T. Agapito were found to be in compliance in all applicable areas of this procedure. In documentation concerning Oak Ridge National Laboratory, SNL was found to be deficient with regard to Item 6 above. Contrary to the requirement in Paragraph 4.4 of QAIP 7-3, SNL's Division Supervisor of Line Organization did not sign the SNL acceptance letter. This condition resulted in the issuance of CAR YM-91-020 by the YMQAD.

DOP 17-1, Revision C, Records Management System

The following documents were examined to verify compliance with DOP 17-1, Revision C:

- o RMS SL 024792
- o RMS SL 024878
- o RMS SL 024788
- o RMS SL 024790
- o RMS SL 024576
- o SAND 88-0624 (NNA.890510.0133)
- o SAND 89-0652 (NNA.900523.0211)
- o SAND 88-2511 (NNA.900314.0236)

The above documents were examined for compliance with the following requirements:

1. Records were properly authenticated.
2. WBS number assigned to each record.
3. QA designation has been assigned to each record.
4. For final reports, cited reference material was listed and identified by RIS accession number.

The following draft documents were examined to ensure that "DRAFT" was marked in the upper margin:

- o SAND 88-2511 Correct
- o SAND 88-0624 DRAFT stamp missing; corrected during surveillance
- o SAND 89-0652 DRAFT stamp missing; corrected during surveillance

It was verified that a Mosler 350, two-hour rated safe was used to secure one-of-a-kind records.

The LRC maintains an access list (dated December 10, 1990) of personnel having access to records contained in the LRC.

It was verified that a log-in/log-out form is used by the LRC to control records that are checked-out.

The following records were examined and found to include the required RMS indexing parameters:

- o RMS SL 024792
- o RMS SL 024878
- o RMS SL 024788
- o RMS SL 024576

The following records were examined and found to be in compliance with Requirements 1 through 8 below:

- o RMS SL 024792
- o RMS SL 024788
- o RMS SL 024576
- o RMS SL 024878
- o RMS SL 024790

Requirements:

1. Records were legible.
2. Records did not contain correction fluid or correction tape.
3. Information on records was not obliterated or scratched-out.
4. No portion of pages was missing.
5. Records did not contain highlighted text.
6. Record package identifier is present.
7. Correct pagination.
8. Corrections were properly made.

The following records were examined to verify compliance to procedural requirements in QAIP 17-2, Revision 0:

- o DRMS File Code 55/F08-4/10/90, DR# 006966
- o DRMS File Code 55/F08-4/10/90, DR# 006963
- o DRMS File Code 55/F08-4/09/89, DR# 006913

The above records were found to comply with the following requirements:

1. DRMS Record Package Segment Submittal Form was complete and accompanied each submitted record package segment.
2. Record package segments containing multiple records contained an inventory or memo that identifies individual records in the package.
3. The required information was included in the inventory or memo.
4. Record package segments were authenticated.
5. LRC staff acknowledged receipt of record package segments.
6. Original submittal form was with the record package segment.

The status of the following DRMS record packages was found to be complete and up-to-date as required:

- o 51/L01A-02/09/90
- o 55/F26-09/14/90

A computerized Table of Contents (dated 10/29/90) was examined and found to comply with procedural requirements.

ATTACHMENT 2

STANDARD DEFICIENCY REPORTS CLOSED

Sandia National Laboratories

The following SDRs were closed during the course of the surveillance:

- No. 493 Procedures do not contain minimum requirements as required by DOP 12.1.
- No. 501 Inadequate calibration procedures.
- No. 533 Acceptance/rejection criteria not addressed in experiment procedures as required.
- No. 534 Backup data to support QA review not retained.
- No. 569 Records identified as QA Records in TP-82 do not meet definition of QA Records in the SNL QAPP, Section 17.
- No. 570 EG&G has used calibration sheets from revised versions of their procedures rather than the ones that are part of the TP-82 procedure.
- No. 571 Procedural requirements make it possible to exceed the annual requirements of the QAPP. Review of SNL Management Assessments indicated that they did not address effectiveness of the QA Program.
- No. 574 Some subcontractors procedures dealing with non-conformances do not contain requirements described in the SNL QAPP.
- No. 575 Surveillance reports were not issued as required by QAP 10-1.
- No. 577 A review of SNL Audits indicate that checklists are not retained as Quality Records within the SNL LRC.
- No. 578 Audit Reports are not being issued within 30 calendar days of the audit.

Los Alamos National Laboratory

The following SDRs were closed during the course of the surveillance:

- No. 466 Sample of controlled manuals indicated procedures should have been removed or marked obsolete.
- No. 515 Existing Lawrence Berkley Laboratory contract did not specify rights of access by U.S. Department of Energy, pass through of QA requirements or control of supplier issued non-conformances.

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

14CAR NO.: YM-91-019
DATE: 1/8/91
SHEET: 1 OF 1
QA
WBS No.: 1.2.9

CORRECTIVE ACTION REQUEST

1 Controlling Document SNL QAPP, Rev. E		2 Related Report No. Surv. Report No. YMF-SR-91-005	
3 Responsible Organization Sandia National Labs		4 Discussed With F. Nimick and R. Richards	
10 Response Due 15 days from issuance	11 Responsibility for Corrective Action T. Blejwas, TPO	12 Stop Work Order Y or N No	
5 Requirement: Para. 3.4.1 states in part that, "Interpretation/analysis shall be performed and documented in sufficient detail as to purpose, method, assumptions, input, reference, and units such that a technically qualified person may review, understand and verify the analysis without recourse to the originator."			
6 Adverse Condition: Contrary to the above, DOP 3-10, Routine Calculations, does not require units to be carried with calculations.			
7 Recommended Action(s): Revise the procedure and investigate calculation notebooks to determine if units have been carried with calculations and revise those calculations which do not so that units are included.			
8 Initiator M. J. Mitchell	Date: 1/2/90	9 Severity Level - 1 <input type="checkbox"/> 2 <input checked="" type="checkbox"/> 3 <input type="checkbox"/>	13 Approved By: <i>[Signature]</i> OQA <u>1-7-91</u>
15 Verification of Corrective Action:			
16 Corrective Action Completed and Accepted: GAR _____ Date _____		17 Closure Approved By: OQA _____	

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

14CAR NO.: YM-91-020
DATE: 1/8/91
SHEET: 1 OF 1
QA
WBS No.: 1.2.9

CORRECTIVE ACTION REQUEST

1 Controlling Document SNL QAIP 7-3, Rev. 00		2 Related Report No. Surv. Report No. YMP-SR-91-005	
3 Responsible Organization Sandia National Labs		4 Discussed With Gene Smit	
10 Response Due 15 days from issuance	11 Responsibility for Corrective Action T. Elejwas, TPO	12 Stop Work Order Y or N No	
5 Requirement: SNL QAIP 7-3, Rev. 00, Evaluation of Contractor QA Documents, Effective date, 8/31/90, Para 4.4 requires the SNL Division Supervisor of Line Organization to sign SNL's document acceptance letter and send it to the contractor via the SNL Contract Monitor.			
6 Adverse Condition: Contrary to the requirement stated in Block 5 above, the SNL Division Supervisor of Line Organization did not sign the document acceptance letter as required for contract No. 35-0023 with Oak Ridge National Labs.			
7 Recommended Action(s): Require the SNL Division Supervisor of Line Organization to sign document acceptance letters as stated in QAIP 7-3.			
8 Initiator K. T. McFall 12/18/90		9 Severity Level - 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input checked="" type="checkbox"/>	13 Approved By: OQA <i>Catherine Anderson</i> 1-7-91
15 Verification of Corrective Action:			
16 Corrective Action Completed and Accepted: OAR _____ Date _____		17 Closure Approved By: OQA _____	