

memorandum

DATE: APR 19 1993

REPLY TO: RW-3
ATTN OF:

SUBJECT: Corrective Action Status Report for March 1993

Distribution

TO:

The status of Corrective Action Requests (CARs) issued by OCRWM Headquarters as of March 31, and April 1, 1993, are reported in Attachments 1 and 2, respectively. Attachment 1 provides the status by organization and Attachment 2 provides the status by sequential CAR number. The status of the Standard Deficiency Reports (SDRs) and Corrective Action Requests (CARs) issued by Yucca Mountain Project Office as of March 31, and April 1, 1993, are reported in Attachments 3 and 4, respectively. Again, Attachment 3 provides the status by organization and Attachment 4 provides the status by sequential SDR and CAR number.

It is requested that the responsible individual in your organization review the reported information for required action and accuracy. Corrections needed, status updates, requests for extensions on actions that are overdue or will remain open beyond the current due date should be promptly submitted by memorandum to the Office of Quality Assurance.

If you have any questions regarding this subject, please contact me at (202) 586-8858.



Donald G. Horton, Director
Office of Quality Assurance

Attachments

cc:

- T. Johnson, RW-3.1
- S. Brocoum, RW-22
- R. Spence, YMPO
- N. Brogan, SAIC-NV
- W. Booth, Weston
- M. Horseman, CER
- K. Ransom, CER
- K. Hooks, NRC
- S. Zimmerman, State of NV
- F. Mayes, EI-523
- R. Pope, ORNL
- R. Bullock, RSN
- L. Hayes, USGS
- R. Pritchett, REEGo
- W. Clarke, LLNL
- L. Shephard, SNL
- R. Erickson, EM-343
- R. Robertson, M&O
- M. Kreiter, PNL
- P. Zavattaro, EG&G

210058

102.7
WM-11
NHO3

Ltr. Encl.
1 1

ADD: Ken Hooks

9304210213 930419
PDR WASTE
WM-11 PDR

Distribution

Director, Office of Civilian Radioactive Waste Management, RW-1

Director, Office of Strategic Planning and International Programs, RW-4

Director, Office of External Relations, RW-5

Associate Director, Office of Program and Resources Management, RW-10

Associate Director, Office of Geologic Disposal, RW-20

Associate Director, Office of Systems and Compliance, RW-30

Associate Director, Office of Storage and Transportation, RW-40

Associate Director, Office of Contract Business Management, RW-50

HEADQUARTERS CAR STATUS REPORT FOR MARCH 1993**1. HEADQUARTERS CORRECTIVE ACTION REQUESTS AND STOP WORK ORDERS****A. Corrective Action Requests**

CARs	MONTH TO DATE	TOTAL TO DATE
CARs Issued	9	90
CARs Closed	2	54
CARs Open	-	36

B. Stop Work Orders

No Activity

2. HEADQUARTERS CARs WITH OVERDUE ACTION**RW-20**

CAR NUMBER	ADVERSE CONDITION	OVERDUE ACTION	DATE
HQ-93-002	QAP and QA Manual not current	Provide Amended Response	03/26/93

3. HEADQUARTERS CARs WITH ASSIGNMENTS DUE DURING APRIL 1993**RW-3**

CAR NUMBER	ADVERSE CONDITION	NEXT ACTION	DATE
HQ-92-015	Incomplete personnel qualification records	Complete Corrective Action	04/01/93
HQ-93-007	Employees performing work under QARD reqmts not on list	Evaluate Corrective Action Response	04/09/93
HQ-93-008	Training records not in QRC	Evaluate Corrective Action Response	04/09/93

ATTACHMENT 1
HEADQUARTERS CAR STATUS REPORT FOR MARCH 1993

3. HEADQUARTERS CARs WITH ASSIGNMENTS DUE DURING APRIL 1993

RW-3 (continued)

CAR NUMBER	ADVERSE CONDITION	NEXT ACTION	DATE
HQ-93-013	Procedures lack adequate acceptance criteria	Evaluate Corrective Action Response	04/23/93
HQ-93-014	Inadequate software identification	Evaluate Corrective Action Response	04/23/93
HQ-93-015	Audit deficiencies not being reported on CARs	Evaluate Corrective Action Response	04/23/93
HQ-93-016	Deficient audit personnel qualification records	Evaluate Corrective Action Response	04/23/93
HQ-93-017	Lacking periodic summary of effectiveness of implementation of QA Program criteria	Evaluate Corrective Action Response	04/23/93
HQ-93-018	Deficiencies in the preparation and review of procedures	Evaluate Corrective Action Response	04/23/93
HQ-93-019	Inadequate verification of education	Evaluate Corrective Action Response	04/23/93
HQ-93-020	Inadequate indoctrination of personnel	Evaluate Corrective Action Response	04/23/93
HQ-93-021	Audit reports lacking effectiveness statements and summaries of objective evidence	Evaluate Corrective Action Response	04/23/93

RW-20

CAR NUMBER	ADVERSE CONDITION	NEXT ACTION	DATE
HQ-92-012	Inadequate technical reviews and inadequate flowdown of WMSR reqmts into YMP tech baseline documents	Complete Corrective Action	04/09/93
HQ-93-001	Individual performing QAAP 5.1 review not trained	Amended Response Due	04/02/93

ATTACHMENT 1
HEADQUARTERS CAR STATUS REPORT FOR MARCH 1993

3. HEADQUARTERS CARs WITH ASSIGNMENTS DUE DURING APRIL 1993
 (continued)

RW-30

CAR NUMBER	ADVERSE CONDITION	NEXT ACTION	DATE
HQ-92-017	Originator record inadequacies	Complete Corrective Action	04/30/93

ORNL

CAR NUMBER	ADVERSE CONDITION	NEXT ACTION	DATE
HQ-92-008	No evidence of verification of personnel qualifications	Complete Corrective Action	04/07/93

EIA

CAR NUMBER	ADVERSE CONDITION	NEXT ACTION	DATE
HQ-92-019*	QARD reqmts not incorporated into QAPD	Complete Corrective Action	04/09/93
HQ-92-021*	QAS manager position is vacant	Complete Corrective Action	04/09/93
HQ-92-024*	QA reqmts not included in procurement documents. Inadequate procurement document reviews	Complete Corrective Action	04/09/93
HQ-92-025*	Inadequate training program	Complete Corrective Action	04/09/93
HQ-92-026*	No evidence of position descriptions or verification of personnel qualifications	Complete Corrective Action	04/09/93
HQ-92-028*	No evidence of audit program	Complete Corrective Action	04/09/93
HQ-92-030*	Methods not established for identifying, documenting and correcting conditions adverse to quality	Complete Corrective Action	04/09/93
HQ-92-031*	QA Program information not reported to EIA upper mgt. and OCRWM	Complete Corrective Action	04/09/93

* Corrective Action will be completed with final approval of the Program Work Plan; presently with RW-1 for signature.

ATTACHMENT 1
HEADQUARTERS CAR STATUS REPORT FOR MARCH 1993

3. HEADQUARTERS CARs WITH ASSIGNMENTS DUE DURING APRIL 1993
(continued)

EM-343

CAR NUMBER	ADVERSE CONDITION	NEXT ACTION	DATE
HQ-93-009	Ineffective technical review process	Response Due	04/16/93
HQ-93-010	Technical activities not verified during audits/surveillances	Response Due	04/16/93
HQ-93-011	Lack of a list of items & activities subject to QARD requirements	Response Due	04/16/93
HQ-93-012	Untrained readiness review personnel	Response Due	04/16/93

ATTACHMENT 2
HQTRS OPEN CORRECTIVE ACTION REQUEST STATUS REPORT
 April 1, 1993

HQ CAR		SCAQ	RESPONSIBLE INDIVIDUAL		ADVERSE CONDITION	CORRECTIVE ACTION DESCRIPTION	CURRENT ACTION	
No.	Date		Corrective Action	QA Rep			Status	Due
92-008	05/07/92	-	Pope (ORNL)	Bearham	No evidence of verification of personnel qualifications	Complete and document verification of qualifications	VC-32N	03/26/93
92-012	07/22/92	-	Gertz (RW-20)	Rodgers	Inadequate technical reviews and inadequate flowdown of WMSR reqmts into YMP technical baseline documents	1) Document rationale for disposition of reqmts; 2) prepare TDPP for MGDS design reqmt documents and ensure training of preparers; and 3) submit completed training records	CA-1	04/30/93
92-015	11/09/92	-	Clark (RW-3.1)	Chomentowski	Incomplete personnel qualification records	Complete qualification records	CA-1	04/01/93
92-017	10/13/92	Yes	Broccoum (RW-22) Shelor (RW-30) Milner (RW-40)	Chomentowski	Inadequate management of records by originators	1) Review status of record pkgs; 2) assign record pkg responsibilities; and 3) attend training	VC-3 CA-1 VC-3	03/28/93 04/30/93 03/29/93
92-019	10/21/92	-	Mayes (EIA)	Brown	QARD reqmts not incorporated into QAPD	Revise Program Work Plan to allow EIA to work under OCRWM QA Program documents	CA-1	04/09/93
92-020	10/21/92	Yes	Mayes (EIA)	Brown	Lack of implementing procedures	1) Prepare QARD Supplement I procedures; 2) prepare QARD reqmts matrix; and 3) hold "lessons learned" class	CA-1	05/31/93
92-021	10/21/92	-	Mayes (EIA)	Brown	QA manager position is vacant	1) Revise Program Work Plan; and 2) establish and fill QA Coordinator position	CA-1	04/09/93
92-022	10/21/92	Yes	Mayes (EIA)	Brown	No SQAP; inadequate controls applied to RW-859 Data Collection Computer Code	1) Complete SQAP for RW-859 Code; and 2) hold lessons learned class	CA-1	05/31/93
92-023	10/21/92	Yes	Mayes (EIA)	Brown	No SQAP; inadequate controls applied to INM Computer Code	1) Complete SQAP for INM Code; and 2) hold lessons learned class	CA-1	05/31/93
92-024	10/21/92	-	Mayes (EIA)	Brown	QA reqmts not included in procurement documents. Inadequate procurement document reviews	Modify procurement documents to satisfy OCRWM reqmts	CA-1	04/09/93
92-025	10/21/92	Yes	Mayes (EIA)	Brown	Inadequate training program	1) Identify personnel working to QARD; 2) prepare I&T matrices; 3) complete training; and 4) hold lessons learned class	CA-1	04/09/93
92-026	10/21/92	Yes	Mayes (EIA)	Brown	No evidence of position descriptions or verification of personnel qualifications	1) Develop position descriptions; 2) verify education and experience; and 3) hold lessons learned class	CA-1	04/09/93
92-027	10/21/92	-	Mayes (EIA)	Brown	Records management deficiencies, including lack of EIA document that identifies QA records	1) Place INM records in temporary storage; and 2) prepare procedure that specifies reqd records	CA-1	05/31/93
92-028	10/21/92	-	Mayes (EIA)	Brown	No evidence of audit program	Revise Program Work Plan to allow EIA to work to OCRWM QA Program documents	CA-1	04/09/93
92-029	10/21/92	-	Mayes (EIA)	Brown	Document control deficiencies	Develop procedures to identify controlled documents	CA-1	05/31/93

STATUS LEGEND: Prefix: IC = issue CAR, RC = respond to CAR, ER = evaluate response, CA = take corrective action, VC = verify and close CAR. Suffix: 1 = action is on schedule; 2 = action is behind schedule and, for RC or CA, an extension has been requested; 3 = action is overdue; 11, 12, 13, 21, ... = original response or corrective action was unacceptable and is being reworked for the first, second, or whatever time is indicated by the first of the two digits; and 1N, 2N, 3N, 11N, ... = see note at bottom of last page.

ATTACHMENT 2
HQTRS OPEN CORRECTIVE ACTION REQUEST STATUS REPORT
April 1, 1993

HQ CAR		SCAQ	RESPONSIBLE INDIVIDUAL		ADVERSE CONDITION	CORRECTIVE ACTION DESCRIPTION	CURRENT ACTION	
No.	Date		Corrective Action	QA Rep			Status	Due
92-030	10/21/92	-	Mayes (EIA)	Brown	Methods not established for identifying, documenting, and correcting conditions adverse to quality	Revise Program Work Plan to allow EIA to work to OCRWM QA Program documents	CA-1	04/09/93
92-031	10/21/92	-	Mayes (EIA)	Brown	QA Program information not reported to EIA upper management and OCRWM	1) Provide QA program status to OQA, as requested; and 2) provide bimonthly status reports to OCRWM	CA-1	04/09/93
93-001	01/28/93	-	Broccoum (RW-22)	Bearham	Individual performing QAAP 5.1 review not trained		RC-11N	04/02/93
93-002	01/28/93	-	Broccoum (RW-22)	Bearham	QAP and QA Manual not current		RC-31N	03/26/93
93-003	01/28/93	-	Clark (RW-3.1)	Greene	Lead Auditor exams not in record pkgs	Issue memo to each Lead Auditor certification records package	CA-1	05/01/93
93-004	01/28/93	-	Clark (RW-3.1)	S. Horton	Audit schedules not provided to TPO and QA Mgrs. Surveillance schedules not reviewed by Director, OQA	1) Issue FY93 surveillance schedule; and 2) revise QAAP 18.3	CA-1	05/28/93
93-007	01/28/93	-	Shelor (RW-30)	Wagner	Employees performing work under QARD reqmts not on list		ER-1	04/09/93
93-008	01/28/93	-	Shelor (RW-30)	Wagner	Training records not in QRC		ER-1	04/09/93
93-009	02/16/93	Yes	Erickson (EM-343)	Bearham	Ineffective technical review process		RC-1	04/16/93
93-010	02/16/93	Yes	Erickson (EM-343)	Lentz	Technical activities not verified during audits/surveillances		RC-1	04/16/93
93-011	02/16/93	Yes (NRC)	Erickson (EM-343)	Swift	List of items & activities subject to QARD reqmts has not been developed		RC-1	04/16/93
93-012	02/16/93	-	Erickson (EM-343)	George	Untrained readiness review personnel		RC-1	04/16/93
93-013	03/18/93	Yes	Robertson (M&O)	Horseman	Procedures lack adequate acceptance criteria		ER-1	04/23/93
93-014	03/18/93	-	Robertson (M&O)	Bearham	Inadequate software identification		ER-1	04/23/93
93-015	03/18/93	Yes	Robertson (M&O)	Bearham	Audit deficiencies not being reported on CARs		ER-1	04/23/93
93-016	03/18/93	-	Robertson (M&O)	Bearham	Deficient audit personnel qualification records		ER-1	04/23/93
93-017	03/18/93	-	Robertson (M&O)	Bearham	Lacking periodic summary of effectiveness of implementation of QA Program criteria		ER-1	04/23/93
93-018	03/18/93	Yes	Robertson (M&O)	Horseman	Deficiencies in the preparation and review of procedures		ER-1	04/23/93
93-019	03/18/93	Yes	Robertson (M&O)	Bearham	Inadequate verification of education		ER-1	04/23/93
93-020	03/18/93	-	Robertson (M&O)	Bearham	Inadequate indoctrination of personnel		ER-1	04/23/93

STATUS LEGEND: Prefix: IC = issue CAR, RC = respond to CAR, ER = evaluate response, CA = take corrective action, VC = verify and close CAR. Suffix: 1 = action is on schedule; 2 = action is behind schedule and, for RC or CA, an extension has been requested; 3 = action is overdue; 11, 12, 13, 21, ... = original response or corrective action was unacceptable and is being reworked for the first, second, or whatever time is indicated by the first of the two digits; and 1N, 2N, 3N, 11N, ... = see note at bottom of last page.

ATTACHMENT 2
HQTRS OPEN CORRECTIVE ACTION REQUEST STATUS REPORT
 April 1, 1993

HQ CAR		SCAQ	RESPONSIBLE INDIVIDUAL		ADVERSE CONDITION	CORRECTIVE ACTION DESCRIPTION	CURRENT ACTION	
No.	Date		Corrective Action	QA Rep			Status	Due
93-021	03/18/93	Yes	Robertson (M&O)	Bearham	Audit reports lacking effectiveness statements and summaries of objective evidence		ER-1	04/23/93

NOTES

CAR HQ-92-008 Corrective Action lacking. Telcon scheduled 4/5/93 with ORNL to resolve.

CAR HQ-93-001 Response was unacceptable. Memo requesting revised response to QADD for signature 3/23/93; returned unsigned.

CAR HQ-93-002 Initial corrective action response was unacceptable. Memo requesting revised response sent on 03/10/93.

STATUS LEGEND: *Prefix:* IC = issue CAR, RC = respond to CAR, ER = evaluate response, CA = take corrective action, VC = verify and close CAR. *Suffix:* 1 = action is on schedule; 2 = action is behind schedule and, for RC or CA, an extension has been requested; 3 = action is overdue; 11, 12, 13, 21, ... = original response or corrective action was unacceptable and is being reworked for the first, second, or whatever time is indicated by the first of the two digits; and 1N, 2N, 3N, 11N, ... = see note at bottom of last page.

ATTACHMENT 3
YMPO CAR/SDR STATUS REPORT FOR MARCH 1993

1. YMPO CORRECTIVE ACTION REQUESTS, STANDARD DEFICIENCY REPORTS, AND STOP WORK ORDERS

A. Corrective Action Requests

CARs	MONTH TO DATE	TOTAL TO DATE
CARs Issued	8	206
CARs Closed	12	172
CARs Open	-	34

B. Standard Deficiency Reports

SDRs	MONTH TO DATE	TOTAL TO DATE
SDRs Issued	0	599
SDRs Closed	1	598
SDRs Open	-	1

C. Stop Work Orders

No Activity

2. YMPO CARs AND SDRs WITH OVERDUE ACTION

None

3. YMPO CARs AND SDRs WITH ASSIGNMENTS DUE DURING APRIL 1993

YMPO

CAR/SDR NUMBER	ADVERSE CONDITION	NEXT ACTION	DATE
YM-93-004	Illegible records and records problems	Complete Corrective Action	04/19/93
YM-93-011	Remediation Program does not address all TMP requirements	Complete Corrective Action	04/01/93
YM-93-016	FCR evaluations not performed	Complete Corrective Action	04/30/93
YM-93-027	Failure to implement procedures for Control of Tracers, Fluids & Materials	Complete Corrective Action	04/30/93
YM-93-035	FCRs are not being completed in accordance with AP-3.5Q reqmts.	Response Due	04/15/92
YM-93-039	Inadequacies with Assess. Team Cntrl. List	Response Due	04/26/93

ATTACHMENT 3
YMPO CAR/SDR STATUS REPORT FOR MARCH 1993

3. **YMPO CARs AND SDRs WITH ASSIGNMENTS DUE DURING APRIL 1993**

EG&G

CAR/SDR NUMBER	ADVERSE CONDITION	NEXT ACTION	DATE
YM-93-005	Some procedures do not meet QPD requirements	Complete Corrective Action	04/30/93
YM-93-006	Changes to procurement docs not reviewed by same organizations	Complete Corrective Action	04/30/93
YM-93-007	DRR & DRS forms not used for review of technical procedures	Complete Corrective Action	04/30/93
YM-93-008	QAO not performing document distribution activities for Y300 procedures	Complete Corrective Action	04/30/93

USGS

CAR/SDR NUMBER	ADVERSE CONDITION	NEXT ACTION	DATE
YM-93-015	Acquired data transmitted without documentation of IMOU or TDIF	Complete Corrective Action	04/30/93

RSN

CAR/SDR NUMBER	ADVERSE CONDITION	NEXT ACTION	DATE
YM-93-030	Project procedures do not delineate methodology for documenting options which deviate from Design Drawings	Complete Corrective Action	04/16/93

3. **YMPO CARs AND SDRs WITH ASSIGNMENTS DUE DURING APRIL 1993**
 (continued)

LLNL

CAR/SDR NUMBER	ADVERSE CONDITION	NEXT ACTION	DATE
YM-92-064	M&TE have been entered in the Master Status List without documented evidence of the calibration record	Verification of Corrective Action	04/05/93
YM-92-065	M&TE not calibrated as recommended by manufacturer	Verification of Corrective Action	04/05/93
YM-93-017	Activities identified in Grading Report as non-quality should be quality affecting	Verification of Corrective Action	04/05/93

PNL

CAR/SDR NUMBER	ADVERSE CONDITION	NEXT ACTION	DATE
YM-93-024	Inadequate follow-up of corrective action	Verification of Corrective Action	04/15/93

QAD

CAR/SDR NUMBER	ADVERSE CONDITION	NEXT ACTION	DATE
YM-93-031	No annual audit or surveillance performed on RSN Field Survey Dept. activities	Verification of Corrective Action	04/16/93
YM-93-041	Lack of Study Plan Reviews by QA organizations	Response Due	04/27/93

TRW

CAR/SDR NUMBER	ADVERSE CONDITION	NEXT ACTION	DATE
YM-93-034	QAPD does not address Non-conformance Cntrl and does not have NCR implementing procedure	Response Due	04/15/93
YM-93-036	Failure to implement QAP 5.1	Response Due	04/15/93
YM-93-037	Implementing Line procedures are inadequate	Response Due	04/15/93
YM-93-038	Lack of documentation of verification method and lack of verification of correct selection & approval of inputs	Response Due	04/20/93

ATTACHMENT 4
YMOAD OPEN CORRECTIVE ACTION REQUEST STATUS REPORT
 April 1, 1993

DEFICY NUMBER	ADVERSE CONDITION	S E V	DATE ISSUED	RESPONSE DUE	RESPONSE RECEIVED	RESPONSE ACCEPTED	CORRECTIVE ACTION DESCRIPTION	DUE COMPLETE	FORECAST CLOSURE	DATE CLOSED	CURRENT STATUS
SDR 596	QAPD Def.	2	10/18/90	11/16/90	11/28/90	12/10/90	Complete preparation of centralized QA document	07/01/93	07/16/93		CA in process by YMP
YM-01-005	No matrix for OCRWM procedures and QARD/QAP	3	11/09/90	11/29/90	12/04/90	12/07/90	Complete modifications identified in matrix review	05/01/93	05/14/93		CA in process by QAD
YM-01-041	QAPP requirements are not consistently reflected in QPs	2	04/09/91	05/21/91	08/20/91	09/05/91	Revise QAPP matrix existing QPs, evaluate need for stop work on affected QPs, revise QP 2.5 & 4.5	05/30/93	06/14/93		CA in process by LANL
YM-01-056	Procedures issued w/o meeting requirements of QAPP	2	06/24/91	08/23/91	09/13/91	09/26/91	Revise QP 2.1 and QAPP	05/30/93	06/14/93		CA in process by LLNL
YM-01-074	Failure to revise SQAP	3	08/20/91	09/18/91	09/17/91	09/24/91	Revise USGS SQAP	08/05/93	08/19/93		CA in process by USGS
YM-01-075	SQAP requirement not included in QMP 3.03	3	08/20/91	09/18/91	09/17/91	09/25/91	Revise USGS SQAP and SQA procedure	08/05/93	08/19/93		CA in process by USGS
YM-01-076	QMP 3.03 does not address independence of personnel	2	08/20/91	09/18/91	09/17/91	09/26/91	Revise USGS SQAP	08/05/93	08/19/93		CA in process by USGS
YM-02-027	Study Plan does not reference the specific technical procedures used in the task		04/10/92	06/01/92	05/29/92	06/03/92	Renegotiate the LODA. Revise AP-1.10Q	06/01/93	06/15/93		CA in process by YMP
YM-02-064	M&TE have been entered in the Master Status List without documented evidence of the calibration record		08/26/92	10/22/92	10/22/92	11/04/92	Review and revise QP-12.0 as necessary. Conduct training	03/15/93	04/05/93		Verification of LLNL CA scheduled for 04/05/93
YM-02-065	M&TE not calibrated as recommended by manufacturer		08/26/92	10/22/92	10/22/92	11/05/92	Review and revise QP-12.0. Conduct training	03/15/93	04/05/93		Verification of LLNL CA scheduled for 04/05/93
YM-03-003	Scheduled resolution of data to be verified not delineated		10/13/92	01/19/93	01/19/93	01/28/93	Revise QAP 3.5 and AP-3.6Q	05/31/93	06/14/93		CA in process by YMP
YM-03-004	Ilegible Records and Records Problems	SC	10/13/92	11/30/92	01/14/93	02/11/93	Revise AP-1.18Q Resubmit Job Package 92-12 to LRC	04/19/93	05/03/93		CA in process by YMP

ATTACHMENT 4
YMQAD OPEN CORRECTIVE ACTION REQUEST STATUS REPORT
 April 1, 1993

DEFICY NUMBER	ADVERSE CONDITION	S E V	DATE ISSUED	RESPONSE DUE	RESPONSE RECEIVED	RESPONSE ACCEPTED	CORRECTIVE ACTION DESCRIPTION	DUE COMPLETE	FORECAST CLOSURE	DATE CLOSED	CURRENT STATUS
YM-93-004	Illegible Records and Records Problems	SC	10/13/92	11/30/92	01/14/93	02/11/93	Revise AP-1.18Q Resubmit Job Package 92-12 to LRC	04/19/93	05/03/93		CA in process by YMP
YM-93-005	Some procedures do not meet QPD requirements		10/21/92	11/18/92	11/23/92	12/04/92	Revise QPD. Develop procedure for resolving disputes. Develop procedure for identification and traceability of data.	04/30/93	05/14/93		CA in process by EG&G
YM-93-006	Changes to procurement documents not reviewed by same organizations		10/21/92	11/18/92	11/23/92	12/04/92	Revise Y100-072.A	04/30/93	05/14/93		CA in process by EG&G
YM-93-007	DRR and DRS forms not used for review of technical procedures		10/21/92	11/18/92	11/23/92	12/04/92	Revise Y100-051.A	04/30/93	05/14/93		CA in process by EG&G
YM-93-008	QAO not performing document distribution activities for Y300 procedures		10/21/92	11/18/92	11/23/92	12/04/92	Revise Y100-061.A	04/30/93	05/14/93		CA in process by EG&G
YM-93-011	Remediation Program does not address all YMP requirements		10/28/92	11/27/92	11/19/92	12/07/92	Evaluate and revise AP-5.21 and AP-5.32	04/01/93	04/15/93		CA in process by YMP
YM-93-015	Acquired data transmitted without documentation of IMOU or TDF		11/04/92	03/24/93	03/22/93	03/26/93	Submit DAR to clarify AP 5.1Q	04/30/93	05/14/93		CA in process by USGS
YM-93-016	FCR evaluations not performed		11/04/92	12/04/92	12/04/92	12/09/92	Revise Change Evaluation Form. Provide training	04/30/93	05/14/93		CA in process YMP
YM-93-017	LLNL Internal Grading Report identifies activities non-quality per SIP should be quality affecting		11/04/92	12/03/92	12/29/92	01/12/93	Revise QP-2.8	03/15/93	04/05/93		Verification of LLNL CA scheduled for 04/05/93
YM-93-021	Document holders not keeping Controlled Documents current.		12/17/92	01/20/93	01/21/93	02/02/93	Issue QA Advisory. Provide training. Schedule surveillance	07/30/93	08/13/93		CA in process by SNL
YM-93-024	Inadequate follow-up of corrective action		12/31/92	01/29/93	01/26/93	01/29/93	Reopen audit report. Issue document change request to QAP-70-704	04/15/93	04/29/93		CA in process by PNL

ATTACHMENT 4
YMOAD OPEN CORRECTIVE ACTION REQUEST STATUS REPORT
 April 1, 1993

DEFICY NUMBER	ADVERSE CONDITION	S E V	DATE ISSUED	RESPONSE DUE	RESPONSE RECEIVED	RESPONSE ACCEPTED	CORRECTIVE ACTION DESCRIPTION	DUE COMPLETE	FORECAST CLOSURE	DATE CLOSED	CURRENT STATUS
YM-83-027	Failure to implement procedures for Control of Tracers, Fluids, and Materials	SC	12/31/92	03/17/93	03/11/93	03/17/93	Revise TFM Plan. Revise AP-5.21Q and AP-5.32Q	04/30/93	05/14/93		CA in process by YMP
YM-83-030	Project procedures do not delineate methodology for documenting options which deviate from Design Drawings		01/29/93	03/01/93	02/26/93	03/03/93	Issue PIC for PP-03-02. Retrain personnel to change	04/16/93	04/30/93		CA in process by RSN
YM-83-031	No annual audit or surveillance performed on RSN Field Survey Dept. Activities	SC	02/18/93	03/17/93	03/10/93	03/03/93	Perform surveillance on RSN Field Surveying Activities	03/05/93	04/16/93		Verification of QAD CA scheduled for 04/16/93
YM-83-032	RSN Field Surveying Group not in compliance with RSN QAPD	SC	02/25/93	03/11/93	03/11/93						Evaluation of RSN response in process by QAD
YM-83-033	Calibration not performed in accordance with procedures	SC	02/24/93	03/24/93	03/24/93	04/01/93	Revise calibration procedures. Conduct training. Use calibration checklist	06/01/93	06/15/93		CA in process by REECo
YM-83-034	QAPD does not address Nonconformance Control and does not have NCR implementing procedure		03/18/93	04/15/93							Response in process by TRW
YM-83-035	FCRs are not being completed in accordance with AP-3.5Q requirements	SC	03/18/93	04/15/93							Response in process by YMP
YM-83-036	Failure to implement QAP-5-1	SC	03/18/93	04/15/93							Response in process by TRW
YM-83-037	Implementing Line procedures are inadequate	SC	03/18/93	04/15/93							Response in process by TRW
YM-83-038	Lack of documentation of verification method and lack of verification of correct selection and approval of inputs		03/23/93	04/20/93							Response in process by TRW

ATTACHMENT 4
YMQAD OPEN CORRECTIVE ACTION REQUEST STATUS REPORT
April 1, 1993

DEFCY NUMBER	ADVERSE CONDITION	S E V	DATE ISSUED	RESPONSE DUE	RESPONSE RECEIVED	RESPONSE ACCEPTED	CORRECTIVE ACTION DESCRIPTION	DUE COMPLETE	FORECAST CLOSURE	DATE CLOSED	CURRENT STATUS
YM-93-039	Assessment Team Controlled List does not contain changes to basis information		03/29/93	04/26/93							Response in process by YMP
YM-93-040	OCRWM QARD requirements not contained in design procedures	SC									TRW CAR pending issuance by QAD
YM-93-041	Lack of Study Plan Reviews by QA organizations 03/30/93	SC	03/30/93	04/27/93							Response in process by QAD