

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT
YUCCA MOUNTAIN QUALITY ASSURANCE DIVISION
QUALITY ASSURANCE SURVEILLANCE REPORT
OF
UNITED STATES GEOLOGICAL SURVEY
SURVEILLANCE YMP-SR-94-007
CONDUCTED IN DENVER, COLORADO
NOVEMBER 16 THROUGH 19, 1993

ACTIVITIES SURVEILLED:

CLOSEOUT AND IMPLEMENTATION OF THE CORRECTIVE ACTIONS
IDENTIFIED AND RECORDED ON NONCONFORMANCE REPORTS,
CORRECTIVE ACTION REPORTS AND AUDIT FINDING REPORTS
PRIOR TO SEPTEMBER 29, 1993 AND REVIEW OF THE FUTURE
QUALITY DEFICIENCY REPORTING PROCESS

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Approved by: Donald G. Horton Date: 11/29/93
Donald G. Horton
Director
Office of Quality Assurance

1.0 EXECUTIVE SUMMARY

This surveillance of the United States Geological Survey (USGS) was conducted to verify the closeout and implementation of the corrective actions identified by the USGS on Nonconformance Reports (NCR), Corrective Action Reports (CAR), and Audit Finding Reports (AFR), prior to the issuance and implementation of Quality Management Procedure (QMP)-16.04, Revision 0, "Control of Quality Deficiency Reports" and cancellation of QMP-15.01, "Nonconformance Reports," QMP-16.01, "Corrective Action Reports," and QMP-18.01, "Audit Finding Reports." Based on the review of objective evidence provided by USGS, it was determined that corrective actions documented on NCRs, CARS and AFRs prior to September 29, 1993, were implemented and verified by cognizant Quality Assurance (QA) personnel. Review of the process for reporting and verifying closure of deficiencies after September 29, 1993 (Quality Deficiency Reports [QDR]) was addressed to determine the adequacy of compliance to procedure YMP-USGS-QMP-16.04, Revision 0. Deficiencies were found to be reported in accordance with this procedure; however, no QDRs have been closed using the procedure. No deficiencies were identified during this review and no recommendations were addressed. The USGS personnel contacted were helpful and well-prepared to answer all questions and furnish any documentation requested.

2.0 PURPOSE AND SCOPE

Surveillance YMP-SR-94-007 was conducted at the USGS facilities in Denver, Colorado on November 16 through 19, 1993 to verify closeout and implementation of the corrective actions identified on NCRs, CARs, and AFRs prior to September 29, 1993, and the cancellation of YMP-USGS-QMP-15.01, YMP-USGS-QMP-16.01, and YMP-USGS-QMP-18.01. YMP-USGS-QMP-16.04, Revision 0, dated September 29, 1993 replaced these procedures and was reviewed for adequacy against the Quality Assurance Requirements and Description (QARD) during this surveillance. This surveillance reviewed documentation and objective evidence to verify the implementation and closeout of each action identified as complete and verified by USGS QA.

3.0 SURVEILLANCE TEAM

Robert B. Constable, Surveillance Team Leader, U.S. Department of Energy, Yucca Mountain Quality Assurance Division

4.0 PERSONNEL CONTACTED DURING THE SURVEILLANCE

W. Rodman, Quality Assurance Specialist/Acting Quality Assurance Manager, USGS
M. Mustard, Quality Assurance Specialist, USGS
L. McInroy, Quality Assurance Verification Group/Manager, Science Application International Corporation (SAIC)

A. Whiteside, Quality Assurance Implementing Advisor, SAIC
T. Mendez-Vigo, Quality Assurance Implementing Specialist, SAIC
A. Lykins, Quality Assurance Specialist/Procurement, USGS
D. Porter, Project Manager, SAIC
D. Valega, Lead Auditor/Quality Deficiency Report Coordinator, SAIC
J. Ziemba, Lead Auditor, SAIC
P. Rodrigues, Lead Auditor, SAIC
M. Watt, Records Coordinator, SAIC
B. Lanker, Records Technician, SAIC
J. Lindberg, Secretary, SAIC

5.0 SURVEILLANCE RESULTS

During this surveillance, eight record packages were retrieved from the USGS Central Records Facility (CRF) and reviewed in detail for verification of proposed corrective action. These 8 packages represent 30 percent of the NCRs/CARs/AFRs closed just prior to the release of procedure YMP-USGS-QMP-16.04, Revision 0, dated September 29, 1993, and is considered to be a representative sample. NCRs/CARs/AFRs open prior to September 29, 1993 were verified and closed under existing procedures QMP-15.01, QMP-16.01, and QMP-18.0. NCRs, CARs and AFRs not closed prior to September 29, 1993 were redesignated as QDRs and will be verified and subsequently closed in accordance with YMP-USGS-QMP-16.04, Revision 0. This surveillance was limited to verification and closure of NCRs, CARs, and AFRs open prior to September 29, 1993. As of this date, no NCRs, CARs, AFRs redesignated with new QDR numbers (25 total) have been formally verified or closed. Sixteen new QDRs have been generated and released under new procedure YMP-USGS-QMP-16.04, Revision 0, and have been designated as QDRs 94-XXX, whereas redesignated NCRs, CARs, and AFRs were given QDR 93-XXX designation. The following packages were reviewed in detail for content and correctness and found to be complete and definitive:

USGS CAR 92-07, Untimely corrective action responses, issued April 9, 1992 and closed September 30, 1993

USGS CAR 92-03, Lack of management agreements, issued October 30, 1991 and closed September 30, 1993

USGS AFR 9110-03, Incomplete personnel qualification, issued June 21, 1991 and closed September 24, 1993

USGS NCR 93-03, Software changes not documented, issued November 22, 1992 and closed September 30, 1993

USGS NCR 92-33, Inadequate calibration certificates, issued July 6, 1992 and closed September 30, 1993

USGS NCR 93-27, Late processing of modification to a technical procedure, issued May 14, 1993 and closed September 27, 1993

USGS AFR 9306-01, No grading reports, issued May 14, 1993 and closed September 18, 1993

USGS NCR 93-33, Late calibration, issued June 17, 1993 and closed September 30, 1993

A "Verification Plan" is in preparation for implementing procedural requirements for the QA program verification function in the future and is due for release in January 1994. This plan addresses organization and responsibility, audit program, surveillance program, supplier qualification program, open issue follow-up, scheduling, tracking and reporting.

A "Verification Improvement Plan" has been released and is in effect at this time. This plan addresses the action required to be taken for a specific function (general, audit, surveillance, supplier qualification and open issue follow-up) as well as the priority, target date, and status.

An "Open Action Item List" has been generated to track audits, surveillances, and QDRs to assure timely concurrence.

A "QDR Review Worksheet" has been generated to document the determination of severity levels and to assure and control the uniformity of decision made.

"QA Implementation Specialists" will review all QDRs generated to assure consistency and correctness.

All "open" QDRs are now tracked on a computerized "status list" for number, title, subject, due date and responsible party.

The above plans, lists, worksheets, dedication of cognizant personnel and the computerized tracking system are determined to be a highly beneficial addition to the corrective action process in the future verification and closure of identified deficiencies.

Conclusion:

The result of this surveillance showed a concerted effort to reduce the back-log of open NCRs, CARs, and AFRs open prior to September 29 1993. An indepth review of

closed deficiency packages from the CRF, records, certifications, procedural changes, training documents, and contact with cognizant personnel, indicated a detailed and comprehensive verification of all deficient conditions. All remaining open deficiencies are now being processed by the new "Control of Quality Deficiency Reports" procedure in effect as of September 29, 1993. It is further concluded that additional efforts to streamline and formalized this process as indicated herein will positively add to the quality of this process.

6.0 RECOMMENDATIONS

None