



Department of Energy
Washington, DC 20585

WBS 9.1
QA: N/A

MAY 19 1994

Distribution

CORRECTIVE ACTION STATUS REPORT FOR THE MONTH OF APRIL 1994
(SCP: N/A)

The status of Corrective Action Requests (CAR) issued by Office of Civilian Radioactive Waste Management, Office of Quality Assurance (OQA) as of April 30, 1994, is enclosed. Enclosure 1 is a summary of CAR activity for the month of April. A status of open CARs issued by U.S. Department of Energy/Headquarters Quality Assurance Division and CARs issued by Yucca Mountain Quality Assurance Division as of April 30, 1994, is provided in Enclosures 2 and 3, respectively.

It is requested that the responsible individual in your organization review the reported information for any required action. Any discrepancies should be promptly reported to the OQA.

If you have any questions, please contact either Robert B. Constable at (702) 794-7945 or Deborah G. Sult at (702) 794-7777.

Donald G. Horton, Director
Office of Quality Assurance

OQA:RBC-3549

Enclosures:

1. Summary of CAR Activity
2. Status of Open CARs Issued by DOE/OQA
3. Status of Open CARs Issued by the Yucca Mountain Quality Assurance Division

Add: Bill Burke to Carl
NH03.11
WM-11
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Distribution--Memorandum dated

Daniel A. Dreyfus, HQ (RW-1) FORS
Lake H. Barrett, HQ (RW-2) FORS
Robert W. Clark, HQ (RW-3.1) FORS
Jerome D. Saltzman, HQ (RW-5) FORS
Samuel Rouso, HQ (RW-10) FORS
Dwight E. Shelor, HQ (RW-30) FORS
Ronald A. Milner, HQ (RW-40) FORS
Stephan J. Brocoum, HQ (RW-22) FORS
Fred Mayes, HQ (EI-523) FORS
Ralph Erickson, HQ (EM-343) FORS
William L. Belke, NRC, Washington, DC
Susan W. Zimmerman, NWPO, Carson City, NV
Robert P. Keele, QATSS/SAIC, Las Vegas, NV
Henry T. Greene, YMQAD/QATSS, Las Vegas, NV
Deborah G. Sult, YMQAD/QATSS, Las Vegas, NV
Kimberly Ransom, QATSS/CER, Arlington, VA
Lester W. Wagner, QATSS/CER, Arlington, VA
Peter Zavattaro, EG&G/EM, Las Vegas, NV
Julie A. Canepa, LANL, Los Alamos, NM
Willis L. Clarke, LLNL, Livermore, CA
Ronald P. Ruth, M&O/Duke, Las Vegas, NV
L. Dale Foust, M&O/TRW, Las Vegas, NV
Roland L. Robertson, M&O/TRW, Vienna, VA
Paul W. Eslinger, PNL, Richland, WA
Asim Khawaja, PNL, Richland, WA
Daniel L. Koss, REECO, Las Vegas, NV
William C. Kopatich, RSN, Las Vegas, NV
Les E. Shephard, SNL, Albuquerque, NM, M/S 1333
Larry R. Hayes, USGS, Las Vegas, NV
Robert M. Nelson, Jr., YMSCO, NV
Richard E. Spence, YMSCO, NV

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Enclosure 1

CORRECTIVE ACTION REQUEST STATUS REPORT FOR APRIL 1994

1. HEADQUARTERS CORRECTIVE ACTION REQUEST AND STOP WORK ORDERS

A. Corrective Action Requests

CARs	MONTH TO DATE	TOTAL TO DATE
CARs Issued	6	115
CARs Closed	0	90
CARs Open	-	25

B. Stop Work Orders

No Activity

2. YMP CORRECTIVE ACTION REQUEST AND STOP WORK ORDERS

A. Corrective Action Requests

CARs	MONTH TO DATE	TOTAL TO DATE
CARs Issued	9	313
CARs Closed	4	274
CARs Open	-	39

B. Stop Work Orders

No Activity

**HEADQUARTERS QUALITY ASSURANCE DIVISION
MONTHLY CORRECTIVE ACTION REQUEST (CAR) STATUS REPORT
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Enclosure 2

CAR NUMBER	ISSUE DATE	SEVERITY	ADVERSE CONDITION	CORRECTIVE ACTION RESPONSIBILITY	CORRECTIVE ACTION DESCRIPTION	NEXT ACTION	NEXT ACTION DUE DATE
RW-30							
HQ-93-007	01/28/93	-	Employees performing work under QARD reqmts not on list	D. Shelor RW-30	1) Add employees to "List of Employees Performing Assignments Against the QARD", 2) issue HLP-2.1Q	Issue HLP-2.1Q	06/30/94
EIA							
HQ-92-022	10/21/92	SC	No SQAP; inadequate controls applied to RW-859 Data Collection Computer Code	F. Mayes (EI-523)	1) Complete SQAP for RW-859 Code; 2) hold lessons learned class	Complete QAP 6.2 Review	06/30/94
HQ-92-023	10/21/92	SC	No SQAP; inadequate controls applied to INM Computer Code	F. Mayes (EI-523)	1) Complete SQAP for INM Code; and 2) hold lessons learned class	Complete QAP 6.2 Review	06/30/94
HQ-92-029	10/21/92	-	Document control deficiencies	F. Mayes (EI-523)	Develop procedures to identify controlled documents	Complete QAP 6.2 Review	06/30/94

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CAR NUMBER	ISSUE DATE	SEVERITY	ADVERSE CONDITION	CORRECTIVE ACTION RESPONSIBILITY	CORRECTIVE ACTION DESCRIPTION	NEXT ACTION	NEXT ACTION DUE DATE
EM-343							
HQ-93-009	02/16/93	SC	Ineffective technical review process	R. Erickson (EM-343)	1) Revise TRG (SPP 4.15); 2) conduct surveillance	Complete Verification	05/31/94
HQ-93-010	02/16/93	SC	Technical activities not verified during audits/surveillances	R. Erickson (EM-343)	1) Revise SPP 5.1; 2) verify no negative impact of tech activities; 3) conduct surveillance; 4) increase participation of tech specialist	Issue Verification Clarification Letter	05/31/94
HQ-93-011	02/16/93	SC	List of items & activities subject to QARD reqmts has not been developed	R. Erickson (EM-343)	1) Issue memo; 2) evaluate items & activities lists for QA reqmts; 3) update DWPF WCP	Issue Verification Clarification Letter	05/31/94
HQ-93-027	08/05/93	-	1) No procedure for prep of tech documents; 2) interfaces for development of WAPS not controlled; 3) WAPS input not controlled	R. Erickson (EM-343)	1) Evaluate controls applied during development of EM-WAPS, 2) revise SPP 4.16	Complete Corrective Action	06/01/94
HQ-93-028	08/05/93	-	1) No evidence of comment resolution; 2) no tracking of requirements to WCP & WQR; 3) no list of reviewers & qualifications; 4) checklists not received; 5) review package not received; 6) WA-SRD requirements not in WAPS	R. Erickson (EM-343)	1) Evaluate WA-SRD reqmts not completely stated in EM-WAPS, 2) revise SPP 4.16	Complete Corrective Action	06/01/94

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M&O/TRW							
HQ-93-013	03/18/93	SC	Procedures lack adequate acceptance criteria	R. Robertson (M&O)	Trace the QARD requirements to implementing procedures	Complete Corrective Action	07/15/94
HQ-93-031	10/22/93	-	1) CRD reqmts not adequately addressed in MGDS-RD; 2) MDGS-RD reqmt lacking ref to 40 CRF	R. Robertson (M&O)	Revise SRD's	Complete Corrective Action	09/15/94
HQ-94-004	03/29/94	SC	Inadequate verification of education and experience	R. Robertson (M&O)	Revise M&O QAP 2.2	Complete Corrective Action	07/08/94
HQ-94-005	03/29/94	-	Records need re-authentication by originators	R. Robertson (M&O)	Revise M&O QAP 17.1	Complete Corrective Action	07/31/94
HQ-94-006	03/29/94	SC	Audit/Surveillance Reports lack objective evidence	R. Robertson (M&O)	Add procedural requirement to M&O QAP 18.2 to include objective evidence	Complete Corrective Action	07/15/94
HQ-94-007	03/29/94	-	Software procedures not established	R. Robertson (M&O)	Rewrite M&O QAP 19 Series	Complete Corretive Action	07/31/94
HQ-94-008	03/29/94	SC	QAR and CAR related inadequacies	R. Robertson (M&O)	Review, investigate and resubmit final response	Complete Corrective Action	07/01/94
HQ-94-009	04/28/94	-	QAP 2.0 evaluation not revised	R. Robertson (M&O)		Respond to CAR	05/27/94
HQ-94-010	04/28/94	SC	Utilization of drafts as source documents during MPC RFP process	R. Robertson (M&O)		Respond to CAR	05/27/94
HQ-94-011	04/28/94	SC	Lack of process to release TBD/TBR for SRD	R. Robertson (M&O)		Respond to CAR	05/27/94

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M&O/TRW							
HQ-94-012	04/28/94	-	QAP 2.3 classification and Q-list changes not transmitted to DOE (RW-40)	R. Robertson (M&O)		Respond to CAR	05/27/94
HQ-94-013	04/28/94	SC	Prep and issuance of MPC RFP in non-compliance w/ QARD & M&O QAPs 2.0, 3.5, 7.1	R. Robertson (M&O)		Respond to CAR	05/27/94
HQ-94-014	04/28/94	-	Overlap of participants for "Rubber Room" activities w/ QAP 3.1 reviewers	R. Robertson (M&O)		Respond to CAR	05/27/94
SNL							
HQ-94-001	12/20/93	-	1) CSDP organization chart inadequacies; 2) CSDP lacks evidence of reporting & tracking system	Brady (SNL)		Evaluate Response	06/01/94
HQ-94-002	12/20/93	Yes	1) CSDP QA Manual not current and several CSDP QA Program inadequacies	Brady (SNL)		Evaluate Response	06/01/94
HQ-94-003	12/20/93	Yes	1) Lack of CSDP QA audits and surveillances	Brady (SNL)		Evaluate Response	06/01/94

YUCCA MOUNTAIN QUALITY ASSURANCE DIVISION
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Enclosure 3

CAR NUMBER	ISSUE DATE	SEVERITY	ADVERSE CONDITION	CORRECTIVE ACTION RESPONSIBILITY	CORRECTIVE ACTION DESCRIPTION	NEXT ACTION	NEXT ACTION DUE DATE
LLNL							
YM-91-056	06/24/91	2	Procedures issued w/o meeting requirements of QAPP	LLNL Clarke	Revise QP 2.1 and QAPP	Verification scheduled for 05/02/94	05/02/94
YM-94-005		SC	Procedure not implemented to conduct quality affecting work.	LLNL Clarke	Procedures for performing quality affecting logging will be made available at work sites.	Verification scheduled for 4/22/94	04/22/94
PNL							
YM-93-024	12/31/92		Inadequate follow-up of corrective action	PNL Eslinger	Reopen audit report. Issue document change request to QAP-70-704	Verification scheduled for 5/12/94	5/12/94
REECo							
YM-94-024	03/09/94		Test equipment not calibrated	REECo Pritchett		Provide amended response	05/12/94

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RSN							
YM-94-017	02/07/94		1) Existing conditions at drill site not included in USW NRG-7 & USW SD-12 work programs 2) QA records not addressed in USW NRG-7 work programs 3) Work programs do not address unattended holes from spudding to rigdown.	RSN Kopatich	Revise RSN PP-03-20	Verify corrective action	05/17/94
TRW							
YM-93-040	04/01/93	SC	OCRWM QARD requirements not contained in design procedures	TRW Foust	Prepare and issue ILP	Issue amended response letter	05/14/94
YM-93-066	07/19/93		QAP 17-4 does not reflect records management policies and requirements document, upper tier requirements	TRW Foust	Delete RW-0194, Rev. 2, Appendix D D3.2c, D3.4a and D.3.4c. Revise RMPR	Complete corrective action	06/30/94
YM-93-070	07/16/93	SC	Repetitive deficiencies regarding inadequate or non-existent procedures	TRW Foust	Implement the RTN matrix for procedure review and issuance.	Complete corrective action	06/30/94

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TRW (Continued)							
YM-94-002	10/28/93	SC	No detailed documentation for supporting derived requirements contained in the project requirements documents	TRW Foust	Revise the Technical Document Preparation Plan for the preparation of MGDS Design Requirements Documents	Complete corrective action	09/29/94
YM-94-003	10/28/93		Source input controls on project design requirements documents	TRW Foust	Perform a review of Design Requirements Documents. Revise Technical Document Preparation Plan	Complete corrective action	09/29/94
YM-94-013	12/30/93		Plans prescribing Quality Affecting Activities not controlled in accordance with QA Program	TRW Foust	1) Revise TDPPs prepared under NLP-3-17 2) Revise NLP-3-17 3) Submit DOE Plan in accordance with QAP-6-1	Complete corrective action	05/31/94
YM-94-014	12/30/93	SC	Selection of design configuration for DIEs not governed by procedure	TRW Foust	Incorporate change to procedures for DIEs and FCRs. Issue line procedures for DIEs.	Verify corrective action	05/13/94
YM-94-015	12/30/93	SC	Validation status of data used in Waste Isolation Impact Evaluation is not documented or tracked	TRW Foust	Review/revise complementing procedures for control of WIE Data.	Complete corrective action	05/31/94

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TRW (Continued)							
YM-94-020			Inadequate review criteria for Test Interference Database Information Tracking System	TRW Foust	Issue Procedure Change Notice (PCN) to describe Test Interference Tracking System	Verify corrective action	05/12/94
YM-94-021			Expedited and Urgent Field Change Requests were not processed within the required timeframe.	TRW Foust	Review and revision of AP-3.5Q	Complete corrective action	06/06/94
YM-94-026			Not processing forms associated with the QAP with YAP 5.2	TRW Foust	Submit DARs to PPD for revision of QAPs	Verify corrective action	05/02/94
USGS							
YM-93-053	07/02/93		Subcontractor's QA Programs do not include applicable QA Program requirements	USGS Hayes	Revise USGS QMP-4.01	Verify corrective action	05/02/94
YM-94-004	10/29/93		No temperature control for core and rubble samples. No calibration device or log book of storage temperatures.	USGS Hayes	Revise USGS procedure HP- 131.	Complete corrective action	9/1/94
YM-94-027	03/24/94		QMP-3.03 does not provide for independent review of software when transfered. Software DIP/2.2 was transfered w/o documented evidence of independent review for use.	USGS Hayes		Evaluate response	05/13/94

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YMSCO							
YM-91-005	11/09/90	3	No matrix for OCRWM procedures and QARD/QAP	YMSCO Nelson	Complete modifications identified in matrix review	Complete corrective action	07/31/94
YM-93-004	10/13/92	SC	Illegible Records and Records Problems	YMSCO Nelson	Revise AP-1.18Q. Resubmit Job Package 92-12 to LRC	Evaluate corrective action extension request	05/09/94
YM-93-027	12/31/92	SC	Failure to implement procedures for Control of Tracers, Fluids, and Materials	YMSCO Nelson	Revise TFM Plan. Revise AP-5.21Q and AP-5.32Q	Verify corrective action	05/14/94
YM-93-044	04/16/93		Readiness Review not properly documented	YMSCO Nelson	Revise QAAP 2.6. Provide training	Evaluate corrective action extension request	03/28/94
YM-93-086	08/24/93	SC	Work performed prior to review of procurement documents	YMSCO Nelson	Approve and issue Technical Directives. Perform procedure revisions as necessary.	Complete corrective action	06/17/94
YM-94-012	12/29/93		Ground support system for drilling blast section of the ESF added to the Q-List without required documentation.	YMSCO Nelson	Revise AP-6.17Q to clarify classification methods.	Complete CA	06/30/94
YM-94-019	02/28/94		Not submitting completed Job Package records to the DRC	YMSCO Nelson		Evaluate response extension request	05/12/94
YM-94-022	03/09/94		Did not use formal grading change process per AP-6.17Q	YMSCO Nelson		Provide response - Response overdue	04/06/94

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YMSCO (Continued)							
YM-94-023	03/09/94		Physical protection not provided for boreholes to prevent impact on data collection	YMSCO Nelson		Evaluate response extension request	05/15/94
YM-94-028			Job Packages initiated under AP-5.21Q, Rev. 3, are being used but a controlled copy of Rev. 3 was not available due to cancellation and replacement by Rev. 4	YMSCO Nelson		Evaluate response extension request	05/13/94
YM-94-029			Interface requirements not adequately described in the SBTf requirements documents	YMSCO Nelson		Evaluate response	05/23/94
YM-94-030	04/12/94		TPP Records Packages not submitted to the LRC	YMSCO Nelson		Provide response	05/10/94
YM-94-031	04/12/94		Procedure AP-5.32Q and AP-5.21Q. Do not meet QARD records requirements	YMSCO Nelson		Provide response	05/10/94
YM-94-032			A repetitive deficiency regarding Controls and Implementations applied to packaging/storing and preservation of samples obtained from drilling activities	YMSCO Nelson		Issue CAR	

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YM-94-033			Control of Tracers, Fluids, and Materials (TFMs) are not prescribed in implementing documents	YMSCO Nelson		Issue CAR	
YM-94-034		SC	Control of Tracers, Fluids (TFMs). Lack of indoctrination and Training	YMSCO Nelson		Issue CAR	
YM-94-035			No transportation planning documents nor a Technical Directive (TD) for control of TFMs	YMSCO Nelson		Issue CAR	
YM-94-036			TFMs are not classified as technical data	YMSCO Nelson		Issue CAR	
YM-94-037		SC	Notification was not accomplished regarding TFMs	YMSCO Nelson		Issue CAR	
YM-94-038			Control and limits of TFMs were not specified in Test Planning Packages and Job Packages	YMSCO Nelson		Issue CAR	