



**DEPARTMENT OF ENERGY**  
Office of Civilian Radioactive Waste Management  
Office of Geologic Disposal  
Yucca Mountain Site Characterization Project Office  
P.O. Box 98608  
Las Vegas, NV 89193-8608

WBS 1.2.11  
QA: N/A

DEC 28 1993

Robert M. Nelson, Jr., Acting Project Manager, YMP, NV

VERIFICATION OF CORRECTIVE ACTION AND CLOSURE OF CORRECTIVE ACTION REQUEST  
(CAR) YM-93-042 RESULTING FROM YUCCA MOUNTAIN QUALITY ASSURANCE DIVISION  
(YMQAD) AUDIT YMP-93-09 (SCP: N/A)

The YMQAD staff has verified the corrective action to CAR YM-93-042 and determined the results to be satisfactory. As a result, the CAR is considered closed.

If you have any questions, please contact either Robert B. Constable at 794-7945 or John S. Martin at 794-7881.

*for* *Richard E. Spence*

YMQAD:RBC-1371

Richard E. Spence, Director  
Yucca Mountain Quality Assurance Division

Enclosure:  
CAR YM-93-042

cc w/encl:

- K. R. Hooks, NRC, Washington, DC
- S. W. Zimmerman, NWPO, Carson City, NV
- J. W. Estella, SAIC, Las Vegas, NV
- S. C. Stonebraker, M&O/TRW, Las Vegas, NV
- B. H. Pope, M&O/TRW, Las Vegas, NV
- J. C. de la Garza, YMP, NV
- A. V. Gil, YMP, NV

cc w/o encl:

- J. W. Gilray, NRC, Las Vegas, NV
- N. J. Brogan, YMQAD/QATSS, Las Vegas, NV

*Add: K.R. Hooks*  
*NHOB*  
*WM-11*  
*102.7*

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9401060458 931228  
PDR WASTE  
WM-11 PDR

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

8 CAR NO.: YM-93-042  
DATE: 04/13/93  
SHEET: 1 OF 1  
QA

**CORRECTIVE ACTION REQUEST**

1 Controlling Document  
AP-1.17Q, Revision 1, ICN 1

2 Related Report No.  
AUDIT YMF-93-09

3 Responsible Organization  
YMFO

4 Discussed With  
M. Blanchard/R. Barton

5 Requirement:  
AP-1.17Q, Paragraph 1.1, requires that forms be controlled relative to their use, development and change in accordance with AP-1.17Q.

6 Adverse Condition:  
Contrary to the above requirement, forms being utilized by the Sample Management Facility are not controlled in accordance with AP-1.17Q. Examples include forms generated by implementation of BTP-SMF-002 and BTP-SMF-005.

9 Does a significant condition adverse to quality exist? Yes \_\_\_ No X  
If Yes, Circle One: A B C

10 Does a stop work condition exist? Yes \_\_\_ No X; if Yes - Attach copy of SWO  
If Yes, Circle One: A B C D

11 Response Due Date:  
20 Working days from Issuance

12 Required Actions:  Remedial  Extent of Deficiency  Preclude Recurrence  Root Cause Determination

13 Recommended Actions:  
1. Revise AP-1.17Q to allow the control of forms via PCs and stipulate controls to be placed for the control of this methodology.

7 Initiator  
John S. Martin *JSM*  
Date 4-13-93

14 Issuance Approved by:  
QADD *Robert Blount*  
Date 04-15-93

15 Response Accepted  
QAR *JSM*  
Date 5-24-93

16 Response Accepted  
QADD *R. Blount*  
Date 5/1/93

17 Amended Response Accepted  
QAR *JSM*  
Date 10-7-93

18 Amended Response Accepted  
QADD *R. Blount*  
Date 10-7-93

19 Corrective Actions Verified  
QAR *JSM*  
Date 12-20-93

20 Closure Approved by:  
QADD *David Lee*  
Date 12-27-93

ENCLOSURE

OFFICE OF CIVILIAN  
RADIOACTIVE WASTE MANAGEMENT  
U.S. DEPARTMENT OF ENERGY  
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**CORRECTIVE ACTION REQUEST (Continuation Page)**

1. Corrective Action Response for CAR YM-93-042

A. Remedial Action:

As discussed with Auditor John Martin on 04/28/93, the Remedial Action is the same as the Corrective Action to Preclude Recurrence as stated below.

B. Extent of Deficiency: Not required

C. Root Cause Determination: Not required

D. Corrective Action to Preclude Recurrence:

A Document Action Request (DAR) (copy attached) has been generated by the Plans and Procedures Department (PPD) to initiate a change to AP-1.17Q, Forms Control, Revision 1. As AP-1.17Q is part of the Quality Assurance Requirements and Document (QARD) transition process, QARD requirements and the changes resulting from this corrective action to preclude recurrence will be incorporated into one revision to AP-1.17Q.

2. Responsible Parties:

A. See "D" below.

B. N/A

C. N/A

D. Judith E. Zimmerman Initiate DAR to Revise AP-1.17Q by 05/14/93  
(Completed 05/13/93)

3. Response Approved:

*Wayne N. Kozni*  
ja Vincent F. Iorii  
Project Control Branch Chief

Date: 5/13/93

*dti dtl 5/13/93 - PCB: UFI-4221*

Signatures on this document represent signers' acknowledgement that the applicable procedure has been read, understood, and complied with.

**SECTION I - ACTION REQUEST**

1. DOCUMENT TITLE: Forms Control	2. DOCUMENT NO.: AP-1.17Q	3. REV/ICN: (current) 1	4. <input checked="" type="checkbox"/> Q <input type="checkbox"/> NON-Q
5. TYPE OF ACTION REQUESTED: <input type="checkbox"/> Develop New Document <input checked="" type="checkbox"/> Change Existing Document <input type="checkbox"/> Cancel Document <input type="checkbox"/> Review Only (attach document)			
6. DESCRIPTION OF ACTION REQUESTED: OCRWM QAP 6.2 Review	7. DOCUMENTS AFFECTED:		
8. REASON FOR ACTION REQUEST: Revise AP-1.17Q regarding control of forms via PCs and the associated control methodology. Incorporate QARD requirements (QARD transition).	10. RELATED REPORT NUMBER: CAR YM-93-042		
<input type="checkbox"/> Additional Material Attached	11. REQUESTED BY: Judith E., Zimmerman		
	CRWMS M&O PPD <small>Print Name</small> 4-7797 Organization <small>Phone No.</small> <i>Judith E. Zimmerman</i> <small>05/13/93</small> Signature <small>Date</small>		
9. DELIVERABLE DUE DATE:			

**SECTION II - ACTION INITIATION**

12. REQUEST: <input checked="" type="checkbox"/> Approved <input type="checkbox"/> Rejected	13. MAJOR CHANGES: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	14. PRIORITY: <input checked="" type="checkbox"/> Immediate <input type="checkbox"/> Hold
15. MODIFICATION METHOD: <input type="checkbox"/> ICN <input checked="" type="checkbox"/> Revision <input type="checkbox"/> Cancel <input type="checkbox"/> N/A	16. CCB ACTION: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
17. TRAINING RECOMMENDATION: <input checked="" type="checkbox"/> Self-Study <input type="checkbox"/> Classroom Trng. <input type="checkbox"/> N/A <input type="checkbox"/> Other _____		

18. COMMENTS

19. PREPARER ASSIGNED: Judith E. Zimmerman	20. RESPONSIBLE DIRECTOR: <i>William T. Kozin</i> <small>for Jozin</small> Signature <i>5/13/93</i> Date
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**SECTION III - ACTION CONCURRENCE**

21. PROJECT CONTROL BRANCH CHIEF CONCURRENCE: Request <input checked="" type="checkbox"/> Approved <input type="checkbox"/> Rejected	<i>William T. Kozin</i> <small>for Jozin</small> Signature <i>5/13/93</i> Date
COMMENTS:	

**SECTION IV - ACTION REVIEW**

22. TRAINING REQUIREMENTS: <input type="checkbox"/> N/A* <input type="checkbox"/> Yes - Number of Days Required for Trng.: _____ COMMENTS:	* Requires Justification in Comment Section
23. Training Officer/Training Manager: _____ Signature Date	24. CRWMS M&O PLANS AND PROCEDURES (DAR Completion) _____ Signature Date



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

WBS 1.2.9.3.3  
QA: N/A

MAY 19 1993

Richard E. Spence, Director, Yucca Mountain Quality Assurance  
Division, YMP, NV

SUPPLEMENTAL RESPONSE TO CORRECTIVE ACTION REQUEST (CAR)  
YM-93-042 (SCP: N/A)

In the response to CAR YM-93-042, we stated that a Document  
Action Request (DAR) was generated by the Plans and Procedures  
Department to initiate a change to Administrative Procedure (AP)  
1.17Q, Forms Control. In addition to the completion date for  
submittal of the DAR, we should have included a completion date  
for revision of the procedure.

AP-1.17Q is part of the Quality Assurance Requirements Document  
(QARD) transition process. As stated in the response to the  
subject CAR, QARD requirements and changes resulting from this  
corrective action to preclude recurrence, will be incorporated  
into one revision to AP-1.17Q. The revision to AP-1.17Q should  
be completed by September 1, 1993.

If you have any questions, please contact either Vincent F. Iorii  
at 794-7118 or Judith E. Zimmerman of the Civilian Radioactive  
Waste Management System Management and Operating Contractor at  
794-7797.

*Vincent F. Iorii*  
Vincent F. Iorii, Chief  
Project Control Branch

PCB:VFI-4273

cc:

J. E. Zimmerman, M&O/TRW, Las Vegas, NV  
N. J. Brogan, SAIC, Las Vegas, NV  
R. V. Barton, YMP, NV  
J. R. Dyer, YMP, NV  
A. V. Gil, YMP, NV  
D. R. Williams, YMP, NV  
B. J. Verna, YMP, NV

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**CORRECTIVE ACTION REQUEST (Continuation Page)**

**AMENDED RESPONSE TO CAR YM-93-042**

As discussed with Auditor John Martin on 09/24/93, CAR YM-93-042 requires revision of AP-1.17Q, which is in progress. The processing of this revision was delayed by the Yucca Mountain Quality Assurance Division (YMQAD) in order to determine an appropriate methodology for controlling forms via Personal Computers (PCs). An extension for completion of correction action was granted to September 30, 1993, to allow time for an agreement to be reached on this issue.

Auditor John Martin provided the Plans and Procedures Department (PPD) with a recommendation on 09/24/93 for revising AP-1.17Q to meet the requirements of the QARD. This recommendation will be incorporated in Draft B of AP-1.17Q and sent to reviewers for concurrence. It is anticipated AP-1.17Q (now YAP-5.2Q) will be completed by October 29, 1993.

In addition, Auditor John Martin stated that revision of BTP-SMF-002 (now ILP SII.2/SMF-Q) and BTP-SMF-005 (now ILP S.II.5/SMF-Q) are required in order to satisfy this CAR. Specifically:

- 1) **ILP SII.2/SMF-Q, Rev. 0, Transport, Receipt, Admittance, and Processing of Borehole Samples for the Sample Management Facility**  
The procedure must be revised to create forms for the confirmation checklist, cuttings processing checklist, and core processing checklists identified in Section 6.0.
- 2) **ILP SII.5/SMF-Q, Rev. 0, Examination of Samples at the Sample Management Facility**  
This procedure must be revised to create a form for the Sample Examination Report identified in Paragraph 5.1.6.

In addition:

- 3) **All other SMF procedures must be investigated to determine if checklists, reports, or other items which should be incorporated on forms are listed in such procedures. If investigation results in such findings, the procedures identified must also be revised.**

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**CORRECTIVE ACTION REQUEST (Continuation Page)**

Amended Response to CAR YM-93-042  
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A copy of this amended response will be directed to J. R. Dyer, YMPO, and C. L. Lugo, SAIC in order to provide notification that revision is required to the two procedures listed above and that investigation of the other SMF procedures is also required.

An extension to complete the corrective actions listed above is requested until December 17, 1993.

Amended Response Approved:



Vincent F. Iorii  
Project Control Branch Chief

Date: 9/28/93

**VERIFICATION OF CAR YM-93-042**

In response to subject CAR, the Yucca Mountain Project Office committed to revising AP- 1-17Q, BTP-SMF-002 (now ILP-SII.2/SMF-Q) and BTP-SMF-005 (now ILP-SMF-SII.5/SMF-Q) and performing a review of Sample Management Facility (SMF) procedures for the need for further revisions to satisfy the deficient condition.

- AP-1.17Q was revised as committed and is now a YAP. The new procedure containing the requirements for controlling forms is YAP-5.2Q, Revision 0.
- ILP-SII.2/SMF-Q, ICN #1, Revision 0, was revised to include the forms generated by the procedure.
- ILP-SII.5/SMF-Q, ICN #1, Revision 0, was revised to include the forms generated by the procedure.
- Investigation by SMF personnel found one other procedure which did not contain the forms generated by the procedure; YLP-SII.1Q-SMF. This procedure was revised to include the forms generated by the procedure.

In addition to verifying that the procedures had been revised as committed, a review of SMF procedures was also accomplished to assure that no further revisions were warranted and the deficiency was fully captured.

The following SMF procedures were reviewed and no further deficiencies were found:

ILP-SII.3/SMF-Q, Revision 0  
ILP-SII.4/SMF-Q, Revision 0  
YLP-SII.2Q-SMF, Revision 0

Based upon the above verification, no further action is required at this time, and this CAR is considered closed.

John S. Martin



12/20/83