

December 30, 1992

**NOTE TO:** Ken Hooks

**FROM:** Jack Spraul

**SUBJECT:** REVIEW OF FY-92 DOE AUDITS WITH NO NRC OBSERVERS

Per your request, I reviewed the reports of the FY-92 DOE OCRWM OQA audits which were performed with no NRC observers. The results of the review are enclosed. The enclosure lists the audit report number, the audited organization, the date of the audit, and the resulting corrective action requests (CARs). For the audits listed which had the audit reports available, there were a total of 32 CARs which were (1) deemed to be isolated in nature, (2) judged to require remedial action only, and (3) closed during the audit. These are not listed in the enclosure since they require no tracking or other follow-up. These same audit reports also listed 12 recommendations that are not listed in the enclosure for the same reason. The reports do not include any observations.

After talking with John Buckley about his review of comparable DOE surveillances, I re-reviewed the audit reports listed to see if there were any recommendations that I would consider to be potential CARs. I found none.

Let me know if you need or want anything else in this regard.

  
Jack

Enclosure

9401100213 931221  
PDR WASTE  
WM-11

PDR

**RESULTS OF REVIEW  
OF FY-92 REPORTS OF DOE AUDITS  
WITH NO NRC OBSERVERS**

<u>REPORT NUMBER</u>	<u>AUDITEE</u>	<u>DATE</u>	<u>CORRECTIVE ACTION REQUESTS</u>
YMP-92-01	LANL	10/01-04/91	<p>YM-92-001: Procured calibration service as commercial grade from a supplier not qualified by LANL.</p> <p>YM-92-002: No objective evidence to show that method of sample shipments would not degrade samples.</p> <p>YM-92-003: Calibrations performed internally to memos/draft procedures.</p> <p>YM-91-041: Inconsistencies between the LANL QAPP and implementing procedures. (Another example of earlier nonconformance.)</p>
YMP-92-02	USGS	10/15-18/91	No CARs issued.
YMP-92-03	SNL	11/05-07/91	No CARs issued.
YMP-92-08	SAIC/ T&MSS	01/27-30/92	YM-92-020: Certificates of calibration missing required data.
YMP-92-10	REECo	02/25-28/92	No CARs issued.
YMP-92-11	RSN	03/10-13/92	<p>YM-92-025: Missing documented evidence of some elements of required indoctrination and training.</p> <p>YM-92-026: Readiness Review performed without being in compliance with some of the procedural requirements.</p>
YMP-92-17	REECo	06/08-10/92	No CARs issued.
YMP-92-19	LANL	07/07-11/92	YM-92-057: No grading report generated for scoping work performed for Ground Water Chemistry Modelling.
92EA-ID-AU-001 (Idaho Field Office)		07/15-17/92	Audit report and CARs not in file. However, OQA observed this audit and reported: "The audit team identified twelve conditions adverse to quality ..."

(and) eight observations. ... The audit team concluded that the ID/EM QA Program was ineffective. OQA found ample evidence to support this conclusion. It was clear that the ID/EM Field Office was not implementing its QA Program ... ."

YMP-92-20 USGS 07/28-30/92

YM-92-060: For one purchase order, post-installation test requirements were not incorporated in the procurement documents record package.

YMP-92-21 LLNL (No Report)

YM-92-064: M&TE on Master Status List without calibration record. Also, incomplete calibration records.

YM-92-065: Several M&TE items not calibrated per manufacturer's recommendations.

YM-92-066: Audit reports issued without following applicable procedural requirements.

YM-92-067: QA records of M&TE not transmitted to the local records center (LRC) after being declared out-of-use for about 8 months.

YM-092-068: No objective evidence of LRC inspection of legibility of a scientific notebook.

YMP-92-23 SAIC/  
T&MSS 09/14-18/92

YM-92-074: Members of an assessment team documented that they had been trained on (that is, they read) Rev. 2 of the applicable QAPD instead of Rev. 4.

YM-92-075: A closed nonconformance report referenced a conditional release that was never actually issued.

YM-92-076: A Quality Finding Report was closed with only one of three deficient conditions addressed in the response.

HQ-92-04 EIA 09/14-18/92

Audit report and CARs (if any) not in file.

**ENCLOSURE 3**

**FISCAL YEAR 1992 SURVEILLANCES**