



Department of Energy
Office of Civilian Radioactive Waste Management
Yucca Mountain Site Characterization Office
P.O. Box 98608
Las Vegas, NV 89193-8608

APR 26 1995

Michaele C. Brady
Deputy Technical Project Officer
for Yucca Mountain
Site Characterization Project
Sandia National Laboratories
Bank of America Center
101 Convention Center Drive
Las Vegas, NV 89109

ISSUANCE OF CORRECTIVE ACTION REQUEST (CAR) YM-95-014, REVISION 1,
RESULTING FROM YUCCA MOUNTAIN QUALITY ASSURANCE DIVISION'S (YMQAD)
AUDIT YM-ARP-95-03 OF SANDIA NATIONAL LABORATORIES (SCPB: N/A)

Enclosed is CAR YM-95-014, Revision 1, generated as a result of
YMQAD Audit YM-ARP-95-03. This CAR was revised to clarify the
requirements and adverse conditions described in blocks 5 and 6
respectively.

Please identify the corrective action to be taken and implemented
to correct the deficiency. A CAR Continuation Sheet and
instructions for completion have been provided. Send the
original of your response to Deborah Sult, YMQAD/QATSS,
101 Convention Center Drive, Suite 640, Las Vegas, Nevada 89109.
Response to the CAR is due 20 working days from the date of this
letter. Any extension to the due date must be requested in
writing, with appropriate justification, prior to the due date.

If you have any questions, please contact either Robert B.
Constable at 794-7945 or William R. Sublette at 794-7782.

Richard E. Spence, Director
Yucca Mountain Quality Assurance Division

YMQAD:RBC-2941

Enclosures:

1. CAR YM-95-014, Revision 1
2. CAR Continuation Sheet
and Instructions
3. Guidelines for Root Cause
Determination

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PDR WASTE
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Michael C. Brady

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cc w/encl 1:

K. L. Boardman, OOD, AL

~~J. G. Spraul, NRC, Washington, DC~~

S. W. Zimmerman, NWPO, Carson City, NV

R. R. Richards, SNL, Albuquerque, NM, M/S 1333

T. L. Badredine, M&O, Las Vegas, NV

cc w/o encls:

W. L. Belke, NRC, Las Vegas, NV

D. G. Sult, YMQAD/QATSS, Las Vegas, NV

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1 Controlling Document QARD, QAIP 1-5	2 Related Report No. YM-ARF-95-03
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3 Responsible Organization SNL	4 Discussed With M. Riggins/D.Kessel
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5 Requirement:

QARD 2.2.4, "Planning Work," Planning shall be performed to ensure work is accomplished under suitably controlled conditions. Planning elements shall include, as appropriate:

- A. Definition of the work scope, objectives, and a listing of the primary tasks involved.
- B. Identification of scientific approach or technical methods used to collect, analyze, or study results of applicable work.
- C. Identification of applicable standards and criteria.

QARD 2.2.9, "Document Review," Documents shall be reviewed to the following requirements and for any additional requirements specified by the applicable section of the QARD.

6 Adverse Condition:

Contrary to the requirements in QARD, Sections 2.2.4.A, B, and C, 2.2.9.A, 5.2.2.C, III.2.1.B, and QAIP 1-5, Sections 4.1.1.2.a and h, there was inadequate planning, implementation, and review of the SNL Work Agreement (WA)-0071, its subsequent work (partially implemented through Test Planning Package [TPP] 92-01), and the resulting report (SLTR94-0001). Additionally, contrary to the requirements in QARD, Section 3.2.1.A and 4.2.1.B.2, WA-0071 failed to adequately incorporate or reference the ESF designer's input data needs or to maintain them up-to-date with the designer's data needs over time.

Examples:

1. The objectives of the study reported in SLTR94-0001 were to provide geoengineering characterization of the nonlithified tuffs that will be encountered by the North Ramp in the area of the Bow Ridge Fault. The purpose of this characterization is the following:

9 Does a Significant Condition Adverse to Quality exist? Yes ___ No <u>X</u> If Yes, Check One: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/> E	10 Does a stop work condition exist? Yes ___ No <u>X</u> ; If Yes - Attach copy of SWO If Yes, Check One: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	13 Response Due Date: 20 Working Days From Issuance
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11 Required Actions: Remedial Extent of Deficiency Preclude Recurrence Root Cause Determination

12 Recommended Actions:

Remedial Actions:

Evaluate and update WA-0071 to ensure it reflects ongoing work for which it is intended to implement.

7 Initiator <i>WR Sublette</i> William R. Sublette <i>4/12/95</i>	14 Issuance Approved by: QADD <i>WR Sublette</i> , Date <i>4-14-95</i>
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15 Response Accepted QAR _____ Date _____	16 Response Accepted QADD _____ Date _____
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17 Amended Response Accepted QAR _____ Date _____	18 Amended Response Accepted QADD _____ Date _____
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19 Corrective Actions Verified QAR _____ Date _____	20 Closure Approved by: QADD _____ Date _____
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5 Requirements (continued)

- A Review criteria shall be established before performing the review. These criteria shall consider applicability, correctness, technical adequacy, completeness, accuracy, and compliance with established requirements.

QARD 5.2.2, "Content of Implementing Documents," Implementing documents shall include the following information as appropriate to the work to be performed:

- C. A sequential description of the work to be performed including controls for altering the sequence of required inspections, tests, and other operations. The organization responsible for preparing the document shall determine the appropriate level of detail.

QARD III.2.1, "Planning Scientific Investigations"

- B. Planning shall be coordinated with organizations providing input to or using the results of the investigation.

QAIP 1-5, "Establishing Work Agreements"

- 4.1 Preparing, Reviewing, and Approving a Work Agreement, Step (1), Procedure (2.)
If a Scientific Notebook (SN) is to be used without a governing IP, then the elements listed below shall be addressed, as applicable to the situation, in the WA, and the SN shall be prepared in accordance with Procedure 20-2.

- a. Identification of scientific approach or technical methods used to collect, analyze, or study results of applicable work.
h. A sequential description of the work to be performed including controls for altering the sequence of required inspections, tests, and other operations. The organization responsible for preparing the document shall determine the appropriate level of detail.

QARD 3.2.1, "Design Input Control," Applicable design inputs (such as design bases, conceptual design reports, performance requirements, regulatory requirements, codes, and standards) shall be controlled by those responsible for the design according to the following requirements.

- A. Design inputs shall be identified and documented, and their selection reviewed and approved by those responsible for the design.

QARD 4.2.1, "Procurement Document Preparation," Procurement documents issued by each affected organization shall include the following provisions, as applicable to the item or service being procured:

- B. Technical requirements including:
2. Specific documents (such as drawings, codes, standards, regulations, procedures, or instructions) that describe the technical requirements of the items or services to be furnished shall be specified. The revision level or change status of these documents shall also be identified.

6 Adverse Condition (continued)

- Determine if the nonlithified tuffs have sufficient bearing capacity to allow the Tunnel Boring Machine (TBM) to maintain tunnel grade and alignment.
- Determine if the nonlithified tuffs have sufficient stand-up time and cohesion to prevent material from running through gaps in the TBM shield.

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6 Adverse Condition (continued)

The objectives of this study were not satisfactorily completed due to inadequate planning, implementation, and review. The objective evidence of this finding is that the Bearing Capacity and Stand-up Time Tests were not performed under the representative saturated conditions that were identified in Unit 4 of the Pre-Ranier Mesa nonlithified tuff. Tables 5-1 and 5-2 of the SNL letter report (SLTR94-0001) show that portions of some stratigraphic units are saturated. The saturated test is a key test, the results of which contributed significantly in the decision process regarding how to proceed through the nonlithified tuffs in the area of the Bow Ridge Fault.

2. Contrary to a Technical Criteria Letter, dated 10/25/93, from Shephard to Dyer, no in-situ grouting injection tests were conducted under WA-0071 in the two NRG-2 boreholes nor was the in-situ grout testing noted or discussed in SLTR94-0001.

WR 12
4/9/95 25 Recommended Action(s) (continued)

Extent of Deficiency:

For WA-0071, evaluate the impact of not completing tests that were identified in Block 6 of the CAR and provide justification for not completing these tests. Consideration should be given to the fact that the second alcove will be constructed in the Bow Ridge Fault area and data that would have been gathered from tests not completed, may be important.

Sample other SNL WAs to ensure they accurately reflect the work they are intended to implement.

Preclude Recurrence:

Revise WA procedure to establish predetermined hold points that require the WA to be evaluated to ensure it is up to date and accurately reflects the work it is intended to implement. Revision to applicable upper-tier technical and procurement requirements documents are points in the process at which a review should be completed. Additionally, a mandatory annual review of each active WA may be necessary to ensure WAs are up-to-date.

Root Cause Determination:

Identify root cause for inadequate planning, implementation, and review of the SNL WA-0071, its subsequent work (partially implemented through TPF 92-01), and the resulting report (SLTR94-0001) and maintenance of the WA consistent with current designer needs. Also identify root cause for failing to adequately incorporate or reference the ESF designer's design input data needs or to maintain them up-to-date with the designer's data needs over time.

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1 Controlling Document QAIP 1-5, Revision 07	2 Related Report No. YM-ARP-95-03
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3 Responsible Organization SNL	4 Discussed With M. Riggins/D. Kessel
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5 Requirement:

Section 4.1, Step 1 states, "Prepare a draft WA that includes or references, by number the following element. Enter "NA" for any element that is not applicable. Obtain the document identifier for the document control staff."

Section 4.1, Step 1, 9) states, "Scope of work, objectives, and primary tasks."

Section 4.3, Step 2 states, "Prepare and issue revisions, initiated by either the customer or Supplier when necessary, in the same manner as the original WA (Section 4.1 and 4.2)."

Section 4.1, Step 3, and Note states in part, "Review the draft WA."
"Note: Technical review criteria include technical adequacy;..."

6 Adverse Condition:
Contrary to the above requirements, Work Agreement (WA)-0071, did not adequately define the scope of work to meet the stated objectives.

Examples:

1) Tests to determine the bearing capacity and stand-up time were not identified or performed under saturated conditions. Saturated conditions represent the worst case ground conditions that could be encountered.

Discussion:

The objectives of this study were to provide geoen지니어ing characterization of nonlithified tuffs that will be encountered by the North Ramp in the area of the Bow Ridge Fault. The purpose of the characterization is the following:

9 Does a Significant Condition Adverse to Quality exist? Yes <u>No</u> X If Yes, Check One: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/> E	10 Does a stop work condition exist? Yes <u>No</u> X ; If Yes - Attach copy of SWO If Yes, Check One: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	13 Response Due Date: 20 Working Days From Issuance
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11 Required Actions: Remedial Extent of Deficiency Preclude Recurrence Root Cause Determination

12 Recommended Actions:
Perform the referenced tests under saturated conditions and in a timely manner so the results can be used to help assess the bearing capacity and stand-up time of the nonlithified tuff in the area of the Bow Ridge Fault. Another option would be to contact the design group and constructors to determine whether the designers and constructors consider a saturated cohesionless soil condition a problem for the effective operation and advancement of the TBM. If they do

7 Initiator William Sublette <i>W.P. Sublette</i> <i>12/13/94</i>	14 Issuance Approved by: QADD <i>[Signature]</i> Date <i>12-15-94</i>
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15 Response Accepted QAR _____ Date _____	16 Response Accepted QADD _____ Date _____
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17 Amended Response Accepted QAR _____ Date _____	18 Amended Response Accepted QADD _____ Date _____
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19 Corrective Actions Verified QAR _____ Date _____	20 Closure Approved by: QADD _____ Date _____
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6 Adverse Condition (continued)

Determine if the nonlithified tuffs have sufficient bearing capacity to allow the TBM to maintain tunnel grade and alignment.

Determine if the nonlithified tuffs have sufficient stand-up time and cohesion to prevent material from running through gaps in the TBM shield.

It is apparent from Tables 5-1 and 5-2 that portions of some stratigraphic units appear to be saturated. The in-situ unsaturated Bearing Capacity and Stand-up Time tests showed that the cohesionless soil exhibited some form of cohesion, however, it is not known if the cohesion is due to slight cementation or due to apparent cohesion (capillary suction in a partially saturated soil). This question could have been answered if both of these tests had been performed under saturated conditions. This is a key test and the results would have contributed to the decision process regarding how to proceed through the nonlithified tuffs in the area of the Bow Ridge Fault.

Additionally, Memorandum TWS-EES-13-LV-10-93-16, Kalia to Simecka, dated 10/29/94 (Page 3) identified an action item to characterize "cohesionless materials" was not completed for saturated conditions.

2) Grouting tests were not identified or performed.

Discussion:

The October 25, 1993 Technical Criteria letter from Shephard to Dyer stated that "Grouting tests will be conducted by a grouting subcontractor to be identified (Procurement by SNL). Grouting injection tests will be conducted during a single mobilization of the subcontractor and will include tests in up to two of the NRG-2 holes. Site support requirements are described in the description of the drilling program." No in-situ grout testing was noted or discussed in SLTR94-0001.

Furthermore, WA-0071 was not revised to incorporate specific study objectives as identified in Technical Criteria letter, Shephard to Dyer, dated 10/25/93.

13 Recommended Action(s) (continued)

consider it a problem then the next question to ask them is whether they need to know the degree of apparent cohesion versus inherent cohesion within this partially saturated cohesionless silty sand that was studied in the NRT-1 trench. It must be clearly explained to them that if most of the cohesion in this soil is due to apparent cohesion, then the bearing capacity and stand-up time will be greatly reduced under saturated condition. If the designers and constructors do not think they need this information for saturated conditions, then it is suggested that this be clearly documented. It is also recommended that the review process be evaluated for adequacy and that the impacts that this adverse conditions has on design or other studies be evaluated.

Evaluate the impacts that will result due to the fact that no in-situ grout testing was performed.

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Corrective Action Response for CAR # YM-95-014

CAR YM-95-014 ^S states that Work Agreement 071 did not completely define the scope of work and cites this as an adverse condition. It is SNL's position that this is incorrect and no violation of the requirements (as referenced in the CAR or otherwise) exists. WA-071 clearly defines the process by which test planning will be performed and results documented. This work agreement requires that ^{SAC} criteria for tests be incorporated into a Test Planning Package or Job Packages that are then used to direct specific testing activities in the field. This procedure was followed explicitly in the conduct of the work under audit, and documentation of this fact was provided to the audit team.

Two examples were cited as adverse conditions in the CAR. Discussion of these follows:

The first-example states that tests to determine the bearing capacity and stand-up time were not identified or performed under saturated conditions. In fact an unsuccessful bearing capacity test was attempted under saturated conditions. This was discussed with the auditors. SNL subsequently determined that tests to evaluate strength parameters under saturated conditions would be performed in the laboratory which was also discussed with the auditors. SNL is currently implementing this plan through Work Agreement 0180 with the University of Nevada Reno. We do not consider it feasible to perform saturated standup tests in the field nor is there any established methodology to evaluate the results of such tests or their relationship to tunnel conditions that may be encountered.

Example 2 cites a failure to perform grouting tests discussed in a criteria letter from Shephard to Dyer. The criteria letter which was used to provide the input to the test planning process provided the option and planning basis to perform grouting tests. No requirement was violated by not performing additional grout tests. The decision to not perform additional grout tests was made by the SNL PI for this work and was supported by the M&O A&E team and the construction team.

Laboratory tests to evaluate the feasibility of grouting were performed and documented. The results of this work were presented to the M&O A&E and the construction team in meetings on January 19 and 20, 1994. These meetings are documented in a memo from H. N. Kalia, LANL to W. B. Simecka, DOE/YMPO dated February 24, 1994. This memo states that "No additional data needs were identified by the design or construction team" and that the "PSF design A&E should develop a contingency plan, required drawings and specifications, and procurement strategies to have readily available chemical grouting (from within the ramp) capabilities, should the mining conditions so require." This memo was made available to the audit team.

The subject CAR recommends that SNL contact the design group and the constructor to determine whether they consider a saturated cohesionless soil condition a problem for the effective operation and advancement of the TBM. Documented evidence was provided to the auditors that demonstrated that this very issue was discussed with the M&O and

1/23/95 Shephard to Spence

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constructor (see memo H. Kalia, LANL, to Distribution, May 10, 1994, Rainier Mesa formation Past Bow Ridge Fault). In addition there is documented discussion of this subject in SNL's report SLTR 94-0001 Rev. 7 paragraph 2.2.1.

It is therefore our determination that no corrective action is necessary.

Michael C. Brady
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EVALUATION OF RESPONSES TO CARS YM-95-014, YM-95-015, YM-95-016 AND YM-95-017

Responses to CARS YM-95-014, YM-95-015, YM-95-016 and YM-95-017 are rejected. Responses to CARS YM-95-015, YM-95-016 and YM-95-017 shall address the extent of the deficiencies and describe what steps will be taken to preclude recurrence. The response to CAR YM-95-014 shall address the extent of the deficiency, describe what steps will be taken to preclude recurrence and determine root cause. An amended response shall be submitted to YMQAD by March 24, 1995.

Responses to CARS should follow a format that addresses each indicated "Required Action" in block 11 of the CAR form. It is unclear from your response which required actions you are addressing and which you feel no action is required. It is recommended that when you submit your amended response, each required action be addressed under separate title.

Specific technical and programmatic justification for rejection are provided below.

YM-95-014

WA-071 was not updated to specifically address technical criteria for investigations and modifications to the testing scope as described in the letter Shephard to Dyer, dated 10/25/94. As stated in the Block 6 of the CAR, specific tests were identified which were never added to the WA. The grouting test described in the CAR is one example of a change in the scope of the investigations that was never incorporated into the WA. Additionally, QAIP 1-5, Revision 07 requires that the scope of work, objectives and primary tasks be identified in the WA. The scope of work should be detailed enough to state that testing should be performed under representative conditions. This would have then provided the requirement to perform some tests under saturated conditions when it became evident that saturated conditions existed.

It is also strongly questioned as to why the saturated test was not noted in the SNL letter report (SLTR94-0001). SNL did one plate load bearing test under saturated conditions, however, they did not report it in the letter report, and more importantly why didn't the results of this one saturated test produce a red flag that would indicate the need for more of these types of tests to characterize the potential behavior of the soil conditions at the Bow Ridge Fault. SNL states that they are currently implementing a plan through Work Agreement 0180 that will perform saturated testing in the laboratory. It is a little late, the TBM has already passed through the Bow Ridge Fault and significant running or raveling

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ground conditions were encountered. It should also be noted that it will be difficult to obtain undisturbed samples from the Bow Ridge Fault for laboratory testing. Even if these undisturbed samples were obtained, their value would be marginal compared with the benefits obtained from plate load bearing tests under saturated conditions in the field.

SNL stated in their Technical Criteria letter from Shephard to Dyer (October 25, 1993) that grouting field tests would be performed and they also identified in Attachment 2 of Job Package 94-02, Rev. 0, that grouting field tests would be performed. However, the grouting field tests were never performed and there is no documentation stating that they would not be performed. SNL states in their CAR response that the February 24, 1994 letter from Kalia to Simecka that "no additional data needs were identified by the design or construction team". This quote is taken out of context. The complete quote states "No additional data needs were identified by the design or construction team. It was, however, agreed that the current plan, that is being implemented by Sandia National Laboratories, be completed including drilling two additional boreholes, deepening the trench, and selectively undermining the exposed material to obtain additional information on standup time." The only current plans that existed are those defined by the October 25, 1993 Technical Criteria letter, Job Package 94-02, and Test Planning Package 92-01. The field grouting tests are identified in the Technical Criteria letter and the Job Package. However, there is no reference to them in the Test Planning Package, which produces somewhat of a disconnect. In any case there is no documentation stating that the field grouting tests will not be performed and the corresponding justification as to why they will not be performed.

With regard to the recommendation, SNL stated that they adequately discussed with the M&O and constructor the potential problems that may be encountered with a saturated cohesionless soil condition. The concern the auditor had was that the PI stated during the audit that the one saturated test result was not reported in SLTR 94-0001 and also not discussed with either the designers or constructors. This is serious business. The significance of that test was that it failed in bearing capacity so quickly that two of the three gauges were lost almost immediately. This should have sent up a red flag and further saturated testing should have been performed immediately. In addition, the results of this test should have been presented in SLTR 94-0001 and the designers and constructor should have been informed of this result. This is why the recommendation was made in this CAR that the designers and constructors be completely informed of the behavior of the cohesionless soil under saturated conditions, including the results of the one and only plate load bearing test that was performed under saturated conditions. It should also be recognized that standard good geotechnical engineering practice would be to perform the field or laboratory tests under the worst expected conditions. Since it was evident that some areas were saturated, then it would be expected that there

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should have been a representative number of saturated tests performed. It should also be noted that the appropriate procedure for the plate load bearing test, ASTM D 1194 (Standard Test Method for Bearing Capacity of Soil for Static Load and Spread Footings), requires that the soil be saturated if saturated conditions are expected.

YM-95-015 and YM-95-016

The adverse condition does not question whether the review process was performed but questions the effectiveness of the review process. Verification of correctness of data and calculations is an important part of the review process. The QARD (section 2.2.9) requires that review "criteria shall consider applicability, correctness, technical adequacy, completeness, accuracy, and compliance with established requirements."

The technical specialist evaluating SLTR94-0001 and the Scientific Notebook looked at a sample of the report and scientific notebook content and identified the errors described in these CARs. This evaluation was not comprehensive and therefore, a commitment should be made to determine if additional errors exist and if other information has been left out of the scientific notebook. Additionally, your response regarding SPT blow count data stated the following: "these data were reported as uncorrected and sufficient detail is provided both in the text and on the supporting Figure 5.1 (identified as deficient in the CAR)." This statement is incorrect, there is no detail on Figure 5.1 which states that the SPT blow count data is uncorrected for depth.

YM-95-017

As stated in the response to CARs 015 and 016, the adverse condition does not question whether the review process was performed but questions the effectiveness of the review process.

With regards to SNL's response to not using the most appropriate plate load bearing procedure, ASTM D 1196 "Standard Test Method for Nonrepetitive Static Plate Load Tests of Soils and Flexible Pavement Components, for Use in Evaluation and Design of Airport and Highway Pavements", it is QA's position that this procedure was developed for a specific purpose (highways and airports) and if SNL wants to use this procedure for a purpose for which it is not intended (spread footings) then SNL needs to document their justification for using ASTM 1196 in place of the more applicable ASTM D 1194 "Standard Test Method for Bearing Capacity of Soil for Static Load and Spread Footings". ASTM would not have developed separate procedures for spread footings versus highways and airports unless they

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felt that there was a significant enough difference in these two loading conditions that would require separate plate load bearing capacity procedures.

It should also be noted that the ASTM subcommittee chairman responsible for these ASTM standard procedures was contacted, and he stated that ASTM D 1194 was the procedure that should have been used.



William R. Sublette

3/17/95
Date