



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

**FEB 07 1996**

L. Dale Foust  
Technical Project Officer  
for Yucca Mountain Site  
Characterization Project  
TRW Environmental Safety Systems, Inc.  
Bank of America Center, Suite P-110  
101 Convention Center Drive  
Las Vegas, NV 89109

ISSUANCE OF DEFICIENCY REPORT (DR) YMQAD-96-D034 AND PERFORMANCE  
REPORT (PR) YMQAD-96-P021 RESULTING FROM YUCCA MOUNTAIN QUALITY  
ASSURANCE DIVISION'S (YMQAD) AUDIT YM-ARP-96-05 OF SANDIA  
NATIONAL LABORATORIES (SCPb: N/A)

Enclosed are DR YMQAD-96-D034 and PR YMQAD-96-P021 generated as a  
result of YMQAD Audit YM-ARP-96-05.

Please identify the corrective actions to be taken and  
implemented to correct the deficiencies. PR/DR Continuation  
Pages have been provided. Send the originals of your responses  
to Deborah Sult, YMQAD/QATSS, 101 Convention Center Drive, Suite  
640, Las Vegas, Nevada 89109. Responses to the DR and PR are due  
20 working days from the date of this letter. Extensions to due  
dates 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 John R. Doyle at 794-7986.

*Robert B. Constable*

YMQAD:RBC-1112

Richard E. Spence, Director  
Yucca Mountain Quality Assurance Division

Enclosures:

1. DR YMQAD-96-D034
2. PR YMQAD-96-P021
3. PR/DR Continuation Page

YMP-5

9602120317 960207  
PDR WASTE  
WM-11 PDR

*NHAB-11  
102.7/11  
WM-11*

L. Dale Foust

-2-

cc w/encls:

T. A. Wood, HO (RW-14) FORS

J. G. Spraul, NRC, Washington, DC

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

R. L. Strickler, M&O, Vienna, VA

R. P. Ruth, M&O, Las Vegas, NV

cc w/o encls:

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

J. R. Doyle, YMOAD/QATSS, Las Vegas, NV

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

120072

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

8 ☐ Performance Report  
☒ Deficiency Report  
NO. YM-QAD-96-D034  
PAGE 1 OF 380  
2/21/96  
QA: L

**PERFORMANCE/DEFICIENCY REPORT**

1 Controlling Document:  
Quality Assurance Implementing Procedure (QAIP) 1-5, Revision 09, QAIP 6-3

2 Related Report No.  
YM-ARP-96-05

3 Responsible Organization:  
Sandia National Laboratories

4 Discussed With:  
David Hawkinson/Larry Costin

5 Requirement/Measurement Criteria:  
QAIP 1-5, Revision 09, "Establishing Work Agreements"

Paragraph 4.1.3, "Technical/QA Reviewer," states: "Review the draft W.A. in accordance with review criteria provided in procedure 6-3."  
Paragraph 4.1.4 states: "Resolve any comments with the customer."  
Paragraph 4.1.5 states: "Sign and date the WA to document their review and resolution."

(Continued on Page 2) <sup>380</sup> 1/21/96

6 Description of Condition:  
Contrary to the above requirements, conversations with cognizant personnel and review of Work Agreement files for WA-205 and WA-185 reveal that there is no objective evidence that DRCs, for mandatory comments, have been completed as per QAIP 6-3 and the QARD.

7 Initiator John R. Doyle Date 01/29/96

9 QA Review John R. Doyle Date 1/29/96

10 Response Due Date 20 WORKING DAYS FROM ISSUANCE

11 QA Issuance Approval [Signature] Date 2/6/96

QAR (PR)/AQUAM (DR)

12 Remedial Actions:

13 Remedial Action Response By: \_\_\_\_\_ Date \_\_\_\_\_

14 Remedial Action Due Date \_\_\_\_\_ Date \_\_\_\_\_

15 Remedial Action Response Acceptance \_\_\_\_\_ Date \_\_\_\_\_

16 PR Verification/Closure \_\_\_\_\_ Date \_\_\_\_\_

QAR

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8  
DR NO. YMQAD-96-D034  
PAGE 2 OF 23  
QA: [initials]

**DEFICIENCY REPORT**

**17 Recommended Actions:**

Recommend revising QAIP 1-5 to include the requirements of QAIP 6-3, and specifically, the requirements of Section 6.0, "Records."

**18 Investigative Actions:**

**19 Root Cause Determination:**

**20 Action to Preclude Recurrence:**

**21 Response by:**

Date

**22 Corrective Action Completion Due Date:**

**23 Response Accepted**

QAR

Date

**24 Response Accepted**

AOQAM

Date

**25 Amended Response Accepted**

QAR

Date

**26 Amended Response Accepted**

AOQAM

Date

**27 Corrective Actions Verified**

QAR

Date

**28 Closure Approved by:**

AOQAM

Date

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8 ☐ Performance Report  
☒ Deficiency Report

NO. YMQAD-96-D034  
PAGE 23 OF 32  
8/12/96 QA: L

PR/DR CONTINUATION PAGE

5 Requirement/Measurement Criteria: (Continued)

QAIP 6-3, "Conducting and Documenting Reviews of Documents," Revision 03, Appendix A (continuation page), "Instructions and Criteria for Document Review and Comment Form."

Section A states: "Review/Requester will complete top of form. Author/Requester will provide the Document Review and Comment (DRC) Form, along with the document to be reviewed, to the Reviewer."

Section B states, in part: "Reviewer will review the subject document, applying criteria as specified. Comments will be recorded in the "Reviewer" portion of the form, one comment per DRC form. Sign the DRCs and return them to the Author/Requester...."

In addition, QARD Subsection 2.2.10, "Document Review," Paragraph F, states: "Mandatory comments resulting from the review shall be documented and resolved before approving the document."

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8 ☒ Performance Report  
☐ Deficiency Report  
NO. YMQAD-96-P021  
PAGE 1 OF 1  
QA: L

**PERFORMANCE/DEFICIENCY REPORT**

1 Controlling Document:  
QAIP 1-5, Revision 09, "Establishing Work Agreements."

2 Related Report No.  
YM-ARP-96-05

3 Responsible Organization:  
Sandia National Laboratories

4 Discussed With:  
David Hawkinson

5 Requirement/Measurement Criteria:

Quality Assurance Implementing Procedure, QAIP 1-5. Paragraph 4.1.5, states: "Technical Reviewer/QA Reviewer: sign and date the WA to document the review and resolution of comments."  
Paragraph 4.1.6, further states: "Supplier/Customer: sign and date the WA to indicate approval and that all comments have been resolved."  
Paragraph 4.2.1, states: "Customer: Establish an effective date and document on the WA."

6 Description of Condition:

Contrary to the above, a review of Work Agreement WA-205, Revision 01, indicates that the customer has signed off prior to Paragraph 4.1.5, above.

7 Initiator

John R. Doyle

Date 01/29/96

9 QA Review

QAR

Date 1/29/96

10 Response Due Date

20 WORKING DAYS FROM ISSUANCE

11 QA Issuance Approval

QAR (PR)/AOQAM (DR)

Date 1/29/96

12 Remedial Actions:

13 Remedial Action Response By:

Date

14 Remedial Action Due Date

Date

15 Remedial Action Response Acceptance

QAR

Date

16 PR Verification/Closure

QAR

Date

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8 ☐ Performance Report  
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NO.  
PAGE - OF  
QA: L

PR/DR CONTINUATION PAGE