



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

MAY 28 1996

Robert W. Craig
Acting Technical Project Officer
for Yucca Mountain
Site Characterization Project
U.S. Geological Survey
101 Convention Center Drive
Suite 860
Las Vegas, NV 89109

EVALUATION OF RESPONSE TO DEFICIENCY REPORT (DR) YMQAD-96-D051
RESULTING FROM YUCCA MOUNTAIN QUALITY ASSURANCE DIVISION'S (YMQAD)
AUDIT YM-ARC-96-10 OF U.S. GEOLOGICAL SURVEY (SCPB: N/A)

The YMQAD staff has evaluated the response to DR YMQAD-96-D051. The response has been determined to be satisfactory. Verification of completion of the corrective action will be performed after the effective date provided. Any extension to this date must be requested in writing, with appropriate justification, prior to that date. Please send a copy of extension requests to Deborah Sult, YMQAD/QATSS, P.O. Box 98608, Mail Stop 455, Las Vegas, Nevada 89193-8608.

If you have any questions, please contact either Robert B. Constable at 794-5580 or John S. Martin at 794-5591.

R.E. Spence

Richard E. Spence, Director
Yucca Mountain Quality Assurance Division

YMQAD:RBC-1812

Enclosure:
DR YMQAD-96-D051

cc w/encl:
J. G. Spraul; NRC, Washington, DC
S. W. Zimmerman, NWPO, Carson City, NV
T. H. Chaney, USGS, Denver, CO
Records Processing Center

cc w/o encl:
W. L. Belke, NRC, Las Vegas, NV
J. S. Martin, YMQAD/QATSS, Las Vegas, NV
D. G. Sult, YMQAD/QATSS, Las Vegas, NV

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

8 ☐ Performance Report
☒ Deficiency Report

NO. YMQAD-96-D051

PAGE 1 OF 2

QA: L

PERFORMANCE/DEFICIENCY REPORT

1 Controlling Document:
QARD, DOE/RW-0333P, Revision 5

2 Related Report No.
YM-ARC-96-10

3 Responsible Organization:
U.S. Geological Survey (USGS)

4 Discussed With:
T. Chaney/ R. Craig

5 Requirement/Measurement Criteria:
QARD, 17.2.2.C, states in part: "Individuals handling QA records shall protect them from damage or loss until the records are submitted to the records management system."

6 Description of Condition:
Contrary to the above; USGS has lost and/or misplaced the following records:

Supplier Evaluation, 95-044, of Intertyme Metrology
Supplier Verification, 95-045, of Lengheim/Mathis
Supplier Evaluation, 95-046, of DRI/Dr. Haas
Supplier Verification, 95-039, of CBS

7 Initiator
John S. Martin Date 03/29/96

9 QA Review
QAR Date 4/8/96

10 Response Due Date
20 Working Days From Issuance

11 QA Issuance Approval
QAR (PRI)/AOQAM (DRI) Date 4/10/96

12 Remedial Actions:

13 Remedial Action Response By:
SEE ATTACHED RESPONSE Date

14 Remedial Action Due Date
SEE ATTACHED RESPONSE Date

15 Remedial Action Response Acceptance
QAR Date

16 PR Verification/Closure
QAR N/A Date

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8
DR NO. YMQAD-96-D051
PAGE 2 OF 2
QA: L

DEFICIENCY REPORT

17 Recommended Actions:

Describe those actions necessary to correct those deficiencies identified within the DR.

Investigate to determine the extent of like deficiencies and those actions necessary to correct those identified.

Determine root cause of the deficient condition.

Determine those actions necessary to preclude recurrence

18 Investigative Actions:

19 Root Cause Determination:

20 Action to Preclude Recurrence:

21 Response by:

SEE ATTACHED RESPONSE
Date

22 Corrective Action Completion Due Date:

SEE ATTACHED RESPONSE

23 Response Accepted

QAR

Date 5/16/96

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. Ym9AD-96 D051
PAGE OF
QA: L

PR/DR CONTINUATION PAGE

Block 12: Remedial Actions:

For those reports/results which have been found and were already completed, the report/results will be submitted to the records system, if not already submitted.

For those records which were not completed prior to the evaluator leaving the project AND for those records which had been completed but cannot be located when all possible sources have been investigated, the QA Manager will make a determination, based on current status of the vendor and other documentation available, whether the evaluation needs to be repeated at this time. Either a new evaluation will replace the unfinished one or a justification statement will be put to file to explain why it was not completed and the impact.

Block 13: Remedial Action Response by:

See block 21.

Block 14: Remedial Action Due Date:

See block 22.

Block 18: Investigative Actions:

The status for each specific cited case is as follows:

- o In process records of the supplier evaluation for Intertyme Metrology, USGS-95044-SE have been located. It appears that the report was not yet written at the time the evaluator left the project.
- o The results of the supplier verification for Langham/Mathis, USGS-95045-SV have been located. The results were distributed under a cover letter. Investigation will continue to determine whether the results had been submitted to the records system.
- o The evaluation of DRI/Dr. Haas, USGS-95046-SE, was performed 8/10/95 and the evaluator's notes have been located but the results of the evaluation were not finalized into a report other than the Supplier Evaluation Report out from AP-7.4Q.
- o The results of the supplier verification of Certified Balance Service, Inc., USGS-95039, have not been located to date, however a Quality Deficiency Report initiated during the source verification has been issued, responded to, verified, and closed. Investigative actions continue to check other possible sources of documentation of the source verification results.

Handwritten notes at the bottom of the page: "1/10/96" and "C. R. A. G. T. I. S. R. V. E."

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8 ☐ Performance Report
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NO. YMQAD-96-D051

PAGE OF
QA: L

PR/DR CONTINUATION PAGE

The USGS is in the process of contacting the former QA support contractor to see if their corporate records might be retrievable. Also, a search of the records system has not yet been completed.

The investigative actions taken to date indicate a need to update the oversight activity log. If in updating the log, additional records are noted as missing, remedial actions for those records will also be performed under this deficiency report.

Block 19: Root Cause:

The root cause for the missing records identified in this deficiency can be attributed to the abrupt termination of the USGS's QA support contractor due to the FY '96 budget cuts. The USGS QA Office had approximately two weeks to downsize its staff by approximately 70%. The USGS QA Manager anticipated that in process work would be left as electronic files. But, for the cited reports, those files were not retained.

Block 20: Actions to Preclude Recurrence:

The lessons learned from this experience will allow future transitions of this type to be better planned and managed.

Block 21: Response by:

for Martha H. Mustard
Thomas H. Chaney, YMP-USGS Quality Assurance Manager

Date: 5-10-96

Block 22: Corrective Action Completion Due Date:

Actions under this DR are of secondary priority to Corrective Action Requests YMQAD-96-C004 and -C005. Because of limited resources it is not anticipated that investigative actions, the updating of the oversight log, and associated impact analysis will be completed prior to October 15, 1996.