



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

OCT 11 1996

L. D. 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

**VERIFICATION OF CORRECTIVE ACTION AND CLOSURE OF DR YM-96-D-003
 RESULTING FROM YMQA AUDIT YMP-94-09 OF SANDIA NATIONAL
 LABORATORIES**

The Yucca Mountain Quality Assurance staff has verified the corrective action to Deficiency Report (DR) YM-96-D-003 and determined the results to be satisfactory. As a result, the DR is considered closed.

If you have any questions, please contact either Mario R. Diaz at (702) 794-1489 or Mary G. McDaniel at (702) 794-1468.

Richard E. Spence
 Yucca Mountain Quality Assurance

YMQA:MRD-0076

Enclosure:
 DR YM-96-D-003

cc w/encl:
 T. A. Wood, DOE/HQ (RW-14) FORS
 J. G. Spraul, NRC, Washington, DC
 S. W. Zimmerman, NWPO, Carson City, NV
 R. L. Strickler, M&O, Vienna, VA
 B. R. Justice, M&O, Las Vegas, NV
 S. Y. Pickering, M&O/SNL, Albuquerque, NM, M/S 1395
 Records Processing Center

cc w/o encl:
 W. L. Belke, NRC, Las Vegas, NV
 M. G. McDaniel, YMQA/QATSS, Las Vegas, NV
 D. G. Sult, YMQA/QATSS, Las Vegas, NV
 D. G. Horton, DOE/OQA, Las Vegas, NV

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RECIP: NMSS/PAHL

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

8 Performance Report
 Deficiency Report
YM-96-D-003
NO. YMQAD 96-0003 DS 10/8/96
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PERFORMANCE/DEFICIENCY REPORT

1 Controlling Document:
QAIP 17-3, Revision 1

2 Related Report No.
YMP-94-09

3 Responsible Organization:
SNL

4 Discussed With:
M. Tucker

5 Requirement/Measurement Criteria:
This DR replaces CAR No. YM-94-093

QAIP 17-3, Revision 1, Section 4.1, Step 7, states the LRC staff "shall complete processing of records/record packages by...transmitting the records within 30 days of acceptance by the LRC."

6 Description of Condition:
Contrary to the identified requirement, procurement records are not being forwarded to the M&O Records Management Organization (Central Records Facility) for retention but are retained by SNL.

For example, refer to:

- Supporting Information for Close-Out Package for Purchase Requisition 23-9583
- Supporting Information for Close-Out Package for Purchase Requisition 78-6654

NOTE: This DR is issued to supercede CAR YM-94-093 in order to implement the revised OCRWM Corrective Action Program.

7 Initiator *Mary G. McDaniel*
Mary G. McDaniel Date 11/2/95

9 QA Review *Mary G. McDaniel*
QAR Mary G. McDaniel Date 11/2/95

10 Response Due Date
N/A

11 QA Issuance Approval
QAR (PRI)/AOQAM (DRI) *RS* Date 11/7/95

12 Remedial Actions:
See response to CAR YM-94-093

13 Remedial Action Response By:
N/A Date

14 Remedial Action Due Date
N/A Date

15 Remedial Action Response Acceptance
QAR N/A Date

16 PR Verification/Closure
QAR N/A Date

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WASHINGTON, D.C.**

Y199-96-D-003 05
DR NO. YMQAD-96-D003 10/8/96
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DEFICIENCY REPORT

17 Recommended Actions:

Take action to submit procurement records to CRF or identify in appropriate SNL procedures how quality-related procurement records are being managed and preserved. Address applicable requirements of QARD DOE/RW-0333P.

18 Investigative Actions:

See response to CAR YM-94-093

19 Root Cause Determination:

N/A

20 Action to Preclude Recurrence:

See response to CAR YM-94-093

21 Response by:

N/A

Date

22 Corrective Action Completion Due Date:

05/01/2000

23 Response Accepted

QAR N/A

Date

24 Response Accepted

AOQAM N/A

Date

25 Amended Response Accepted

QAR

Date

26 Amended Response Accepted

AOQAM

Date

27 Corrective Actions Verified

QAR

Mary H. McPhaul Date 10/8/96

Date

28 Closure Approved by:

AOQAM

R. Spence Date 10/10/96

Date

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8 CAR NO.: YM-94-093
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CORRECTIVE ACTION REQUEST

1 Controlling Document QAIP 17-3, Revision 1		2 Related Report No. YMP-94-09	
3 Responsible Organization SNL		4 Discussed With M. Tucker	
5 Requirement: QAIP 17-3, Revision 1, Section 4.1, Step 7. states the LRC staff "...shall complete processing of records/record packages by:...transmitting the records within 30 days of acceptance by the LRC."			
6 Adverse Condition: Contrary to the identified requirement, procurement records are not being forwarded to the M&O Records Management Organization (Central Records Facility) for retention but are retained by SNL. For example, refer to: Supporting Information for Close-Out Package for Purchase Requisition 23-9583 Supporting Information for Close-Out Package for Purchase Requisition 78-6654			
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			
11 Required Actions: <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Extent of Deficiency <input checked="" type="checkbox"/> Preclude Recurrence <input type="checkbox"/> Root Cause Determination			
12 Recommended Actions: Take action to submit procurement records to CRF or identify in appropriate SNL procedures how quality-related procurement records are being managed and preserved. Address applicable requirements of QARD DOE/RW-0333P.			
7 Initiator Mary G. McDaniel <i>Mary G. McDaniel</i>		14 Issuance Approved by: QADD <i>[Signature]</i> for Date <u>9.12.94</u>	
15 Response Accepted QAR <i>Mary G. McDaniel</i> Date <u>11/21/94</u>		16 Response Accepted QADD <i>[Signature]</i> for Date <u>11.29.94</u>	
17 Amended Response Accepted QAR _____ Date _____		18 Amended Response Accepted QADD _____ Date _____	
19 Corrective Actions Verified QAR <u>N/A</u> <i>[Signature]</i> Date <u>11/7/95</u>		20 Closure Approved by: QADD <i>[Signature]</i> Date <u>11/7/95</u>	

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WASHINGTON, D.C.

8 CAR NO.: YM-94-093
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QA

CORRECTIVE ACTION REQUEST (CONTINUATION PAGE)

CAR YM-94-093

A. Remedial Action

A plan for submittal of existing procurement records to the CRF will be developed and initiated based on the results and actions described in D below. (Responsible Individual: Peggy Warner; Anticipated Completion Date: January 15, 1995).

B. Extent of the Deficiency

All QA and Non-QA procurement records are handled the same because the process has been documented in an informal Memo of Understanding between the Project Procurement Specialists and the Records Management staff. Therefore, this deficiency affects all procurement records.

D. Corrective Action to Preclude Recurrence

Background Information: Records were not being forwarded because of company proprietary information (e.g., salaries, formulas to determine contractor loads, etc.) contained in the records. The release of YAP 17-1Q (dated 5/31/94) allows for intentional obliteration of such proprietary information.

A PQMT (Process Quality Management Team) has been formed and procedures (QAIP 4-1 and QAIP 17-3) will be revised or new procedures developed to include the process agreed upon by this team. Objectives of the PQMT are as follows:

- To identify those procurement records that need to go forward (QA and Non-QA) to the CRF.
- To identify those procurement records that can be kept by Sandia and destroyed per the OCRWM RIDS.
- Develop a plan for submittal of existing procurement records. (Responsible Individual: Peggy Warner; Anticipated Completion Date: January 15, 1995)


L. E. Shephard 10/12/94
SNL YMP Technical Project Officer

10/13/94 Ltr. Shephard to Spence

**Amended Reponse for CAR YM-94-093
for Section D., "Corrective Action to Preclude Recurrence"**

D. Corrective Action to Preclude Recurrence

A PQMT (Process Quality Management Team) has been formed and a Procedure Action Request will be completed for procedures QAIP 4-1 and QAIP 17-3 to include the process agreed upon by this team. Objectives of the PQMT are as follows:

- To identify those procurement records that need to go forward(QA and Non-QA) to the CRF.
- To identify those procurement records that can be kept by SNL and destroyed per the OCRWM RIDS.
- Develop a plan for submittal of existing procurement records.

Responsible Individual: Peggy Warner, Anticipated Completion Date: 01/15/95.

u.lac

REVISED 2/6/95
REVISED 1/26/1995
SNL YMP PROCUREMENT RECORDS PROCESSING PLAN
January 9, 1995

The following plan has been prepared in response to CAR YM 94-093 (YMP 94-09) "Procurement documents are not being forwarded to the M&O records management organization (CRF) for retention but are retained by SNL".

SNL YMP PROCUREMENT RECORDS PROCESSING PLAN

Step 1

An ICN has been issued to QAIP 4-1 which designates those records which are QA or YMP Project relevant for processing and submittal to the CRWMS M&O records management organization Central Records Facility (CRF). Records not designated in the procedure will be maintained by the Procurement Section of the SNL Organization 6352 Support Services, for in office implementation of the SNL Corporation and/or the Office of Civilian Radioactive Waste Management (OCRWM) retention and disposition schedules.

The following records will be included in the Procurement Records Package for submittal to the YMP CRF if the Procurement activity causes them to be generated.

- Procurement Request
- Procurement Planning Checklist (PPC)
- Request for Quotation/Proposal
- Contract
- Change Request
- Amendments
- Invoice Actions for QA items or services
- Correspondence
- SNL Approved Contractor Travel Authorization

Step 2

An ICN has been issued to QAIP 17-3 which designates identification and handling of these records as "Proprietary".

Step 3

January 3, 1995 Local Record Center staff initiated the process of reviewing each existing procurement file to separate those records which will be processed on to the CRWMS M&O CRF from those which will be maintained by the Procurement Section of SNL Organization 6352 Support Services for SNL Corporation needs. Existing records are being reviewed for submittal based upon available manpower as budget allocations permit. Existing records are presently maintained in dual storage thus no loss of records will be experienced during this time intensive review process. Current records are being processed per the ICN's

2/7/95 *Richard L. Sams*

identified in Step 1 and Step 2 of this plan.
The Proposed Schedule for Procurement Records Processing is submitted below:

- STEP 1: Review the inventory sheets for procurement boxes which are stored in the SNL Inactive Records Storage Facility to determine the total number of boxes of YMP Procurement Records. *This will be accomplished by 1 May 1995.*
- STEP 2: Based on this investigation we will establish a schedule listing the number of boxes we feel we can realistically review and process by the end of FY 1995, followed by the number we anticipate closing during FY 1996, and FY 1997. This schedule will take into account our budget and manpower constraints.
- STEP 3: Initially process records which are dated after the approval date for the SNL QA program (November 1988).
- STEP 4: *Records created prior to November 1988 will be processed into the system under the guidelines in YQP 17.1Q Rev. 00, Attachment 9.7, covering Backlog Records Submittal. The records are stored in the SNL Inactive Records Storage Facility and at this time are not scheduled for any destruction by SNL. When the SNL RIDS are approved we will process these records to meet both the project concerns and the disposition of nonproject records. This will provide for the most efficient use of personnel.*

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Sandia National Laboratories

YUCCA MOUNTAIN PROJECT MANAGEMENT DEPARTMENT

Les E. Shephard, Manager
 P.O. Box 5800
 Mail Stop 1333
 Albuquerque, NM 87185

Verify: 505-848-0819
 Fax: 505-848-0789

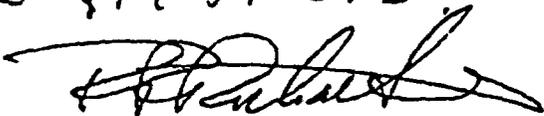
Facsimile Cover Sheet

To:	Bob Constable, YMAAD
	Deborah Solt, QRTSS
Phone:	
Fax:	794 7610 / 794 7125
From:	LE Shephard / RR Richards
Phone:	
Fax:	

Date: 1/20/95
 Pages (including this cover page): 5

CForm: YMPFAX

Comments: Please accept this as "formal submital" of the accompanying documents related to CR 94-093



WARNING: MANY FAX MACHINES PRODUCE COPIES ON THERMAL PAPER. THE IMAGE PRODUCED IS HIGHLY UNSTABLE AND WILL DETERIORATE. IF THIS DOCUMENT IS TO BE RETAINED AS A RECORD, IT SHOULD BE COPIED ONTO BOND PAPER.

REVISED 1/26/1995
SNL YMP PROCUREMENT RECORDS PROCESSING PLAN
January 9, 1995

The following plan has been prepared in response to CAR YM 94-093 (YMP 94-09) "Procurement documents are not being forwarded to the M&O records management organization (CRF) for retention but are retained by SNL".

SNL YMP PROCUREMENT RECORDS PROCESSING PLAN

Step 1

An ICN has been issued to QAIP 4-1 which designates those records which are QA or YMP Project relevant for processing and submittal to the CRWMS M&O records management organization Central Records Facility (CRF). Records not designated in the procedure will be maintained by the Procurement Section of the SNL Organization 6352 Support Services, for in office implementation of the SNL Corporation and/or the Office of Civilian Radioactive Waste Management (OCRWM) retention and disposition schedules.

The following records will be included in the Procurement Records Package for submittal to the YMP CRF if the Procurement activity causes them to be generated.

- Procurement Request
- Procurement Planning Checklist (PPC)
- Request for Quotation/Proposal
- Contract
- Change Request
- Amendments
- Invoice Actions for QA items or services
- Correspondence
- SNL Approved Contractor Travel Authorization

Step 2

An ICN has been issued to QAIP 17-3 which designates identification and handling of these records as "Proprietary".

Step 3

January 3, 1995 Local Record Center staff initiated the process of reviewing each existing procurement file to separate those records which will be processed on to the CRWMS M&O CRF from those which will be maintained by the Procurement Section of SNL Organization 6352 Support Services for SNL Corporation needs. Existing records are being reviewed for submittal based upon available manpower as budget allocations permit. Existing records are presently maintained in dual storage thus no loss of records will be experienced during this time intensive review process. Current records are being processed per the ICN's identified in Step 1 and Step 2 of this plan.

The Proposed Schedule for Procurement Records Processing is submitted below:

- STEP 1: Review the inventory sheets for procurement boxes which are stored in the SNL Inactive Records Storage Facility to determine the total number of boxes of YMP Procurement Records. *Complete by 1 May 1995.* *ML 1/31/9*
- STEP 2: Based on this investigation we will establish a schedule listing the number of boxes we feel we can realistically review and process by the end of FY 1995, followed by the number we anticipate closing during FY 1996, and FY 1997. This schedule will take into account our budget and manpower constraints.
- STEP 3: Initially process records which are dated after the approval date for the SNL QA program (August 1989).
- STEP 4: We do not see a need to send in those records prior to the approval of the SNL QA program as the records are stored in the SNL Inactive Records Storage Facility and at this time are not scheduled for any destruction by SNL. When the SNL RIDS are approved we will explore the disposition of these records.

Steps 2, 3 & 4 will be based on completion of step 1. Preliminary estimate of total closure is 1 May 2000.



Sandia National Laboratory

YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT

Interim Change Notice (ICN)

ICN Number 01

Page 1 of 1

Document Type And Number QAIP 4-1 Current Revision 06

Title Procurement

3.6 Records

Delete the 2nd paragraph

Description and Rationale for Change:

The QA Records, record package segments, and record packages include:

- Purchase Requisitions
- Procurement Planning Checklist
- Request(s) for Questions
- Contracts (includes contracts that Purchasing refers to as Purchase Orders)
- Change Requisitions
- Change Amendments to Contracts
- All support documentation (e.g. sole-source/sole-make justification forms or memorandums, acquisition plans, results of proposal evaluations, etc.)

Add a New paragraph 2

The following records will be included in the Procurement Records Package for submittal to the YMP CRF as the Procurement activity causes them to be generated.

- Procurement Planning Checklist (PPC)
- Procurement Request
- Request for Question/Proposal
- Contract
- Change Request
- Amendments
- Invoice Actions for QA Items or services
- Correspondence
- SNL Approved Contractor Travel Authorization

All other procurement records generated by the SNL YMP Project will be retained by the SNL YMP Procurement section of SNL Organization 4362 Support Services and dispositioned under the rules of the OCRWM RIDS and SNL Corporate RIDS.

Rationale: To respond to CAR YM-84-893 (Identify the ICN by number next to the affected paragraph, insert change, if desired, and file ICN with the affected document.)

Approvals:

Author Marlene B. Tucker Date 1/12/95

QA Reviewer J.P. [Signature] Date 1/12/95

Department Manager [Signature] Date 1/13/95

SNL YMP Technical Project Officer [Signature] Date 1/13/95

Note: Signatures on this document indicate that all comments have been resolved and incorporated.

SNL YMP CONTROLLED DOCUMENT (If Numbered in Red Ink)

Effective Date _____

Copy Number: _____



YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT
Interim Change Notice (ICN)

ICN Number 01 Page 1 of 1

Document Type And Number QAIP 17-3 Current Revision REV 02

Title Processing, Storing, & Protecting YMP QA Records

Description and Rationale for Change:
 To Section 4.1, #5, 2nd bullet, (1) after WBS Number
 Add the following

- "Privileged" designations for procurement records.

To Section 4.1, #9, 3rd bullet, delete
 Add new 3rd bullet

- attaching a special instruction sheet to unique, training and procurement records and including one in the transmittal package to identify those being transmitted under separate cover;

To Section 4.2, #5, 2nd bullet, "after all privileged"
 Add the following

(DOE-28, procurement records),

Rationale: To respond to CAR YM-94-093
 (Identify the ICN by number next to the affected paragraph, insert change, if desired, and file ICN with the affected document.)

Approvals:

Author	<u><i>William R. Tucker</i></u>	Date	<u>1/13/95</u>
QA Reviewer	<u><i>J. Brown</i></u>	Date	<u>1/12/95</u>
Department Manager	<u><i>J. P. ...</i></u>	Date	<u>1/13/95</u>
SNL YMP Technical Project Officer	<u><i>Debbie ... LES</i></u>	Date	<u>1/13/95</u>

Note: Signatures on this document indicate that all comments have been resolved and incorporated.

SNL YMP
CONTROLLED DOCUMENT
 (If Numbered in Red Ink)

Effective Date _____

Copy Number: _____

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8 Performance Report
 Deficiency Report

NO. YM-96-D-003
PAGE ____ OF ____
QA: L

PR/DR CONTINUATION PAGE

Verification of Corrective Action for YM-96-D-003

Verified the following documents:

- QAIP 4-1, Revision 6, ICN 1 effective 1/13/95
- QAIP 4-1, Revision 7, effective 12/1/95
- QAIP 17-3, Revision 2, ICN 1, effective 1/13/95
- SNL YMP Procurement Records Processing Plan dated 2/6/95

SNL Transmittal Number:	Records Processing Center Batch Number:
----------------------------	--

704	MOY-960910-10
705	MOY-960910-09
707	MOY-960911-01
708	MOY-960910-09
713	MOY-960911-02
714	MOY-960911-03
718	MOY-960917-20
726	MOY-960927-04

Telecon 10/1/96 with Eloise James (SNL Participant Data Archives) identified that preliminary review of "technical data records" provided to the Participant Data Archives are not technical data and may be duplicates of other previously processed documents. Detailed review will be performed to confirm this and records appropriately dispositioned. Telecon 10/1/96 with Peggy Warner (SNL Records Management) confirmed these records have been filmed by SNL corporate records and are therefore maintained in duplicate storage.

This deficiency was issued to identify that SNL was not turning over YMP procurement records and to cause corrective action relative to this issue. Based on the satisfactory performance by SNL Participant Data Archives in the maintenance and turnover of technical data records no further action is deemed necessary under the scope of this corrective action.

Corrective actions have been completed and this DR is closed.

Verified by: Mary G. McDaniel
Mary G. McDaniel, QAR

Date: 10/8/96