



Department of Energy

Washington, DC 20585

NOV 25 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-083 RESULTING FROM OQA AUDIT YM-ARC-96-18 OF SANDIA NATIONAL LABORATORIES

The Office of Quality Assurance staff has verified the corrective action to Deficiency Report (DR) YM-96-D-083 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 Donald J. Harris at (702) 794-1467.

Donald G. Horton, Director
Office of Quality Assurance

OQA:MRD-0408

Enclosure:
DR YM-96-D-083

cc w/encl:

T. A. Wood, DOE/HQ (RW-55) FORS
J. G. Spraul, NRC, Washington, DC
S. W. Zimmerman, NWPO, Carson City, NV
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
D. J. Harris, OQA/QATSS, Las Vegas, NV
D. G. Sult, OQA/QATSS, Las Vegas, NV

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

THIS IS A RED STAMP
☐ Performance Report
☒ Deficiency Report
NO. YM-96-D083
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PERFORMANCE/DEFICIENCY REPORT

1 Controlling Document:

QAIP 4-1, Revision 07, Procurement

2 Related Report No.

YM-ARC-96-18

3 Responsible Organization:

SNL

4 Discussed With:

L. Washurn, R. Richards

5 Requirement/Measurement Criteria:

1) Paragraph 4.2.3, Step 7, the QA Procurement Coordinator, "Shall review the PPC form. Sign the PPC form to indicate that all appropriate QA Requirements are identified. The QA Procurement Coordinator will review the PPC for correctness and the PR Statement-of-Work (SOW) for inclusion of applicable QA standard clauses and assure QA requirements are consistent with applicable work agreement for the stated WBS activity to assure the product or service will meet specified requirements."

6 Description of Condition:

1) Contrary to the above requirements, the PPC attached to PR AS 0296 to Geokon Inc., dated 5/3/95 did not describe QA requirements. The attached PPC indicated that QA requirements were not applicable. Specifically, Section 11, QA Requirements, Items 1) determining if a competitively bid and proposal evaluation plan is required, 2) determining if SNL QA program will control activities and which SNL procedures apply, 3) determine if contractors QA program applies and any exception and hold points, 4) determine what QA standard clauses applies, e.g. subtier suppliers, Rights of Access, Deviations from requirements, Procurement document, Submittal requirements, Record requirements and Hold Points, was marked "N/A". However, Item 5 was marked to indicate services would be accepted by the user. The user did not specify calibration documentation as a basis for acceptance.

Note: The PR SOW and Technical Requirements were for Calibration of Rockbolts Load Cells in a manner which is in accordance with YMP QA requirements. A Certificate of Calibration, which meets YMP QA requirements for Calibration reports must accompany each instrument.

7 Initiator

Donald J. Harris

Date 8/1/96

9 Is condition an isolated occurrence?

☐ Yes

☒ No

☐ Unknown; Must be Yes if PR

10 Recommended Action: (Not required for PR)

1) Verify the Certification of Calibration for each Load Cell contains all the required information in accordance with QAIP 12-1, Revision 05, Measurement and Test Equipment Control.

2) Annotate Procurement Planning Checklist Records Copy with this DR number. Initial and date entry.

11 QA Review:

QAR

Donald J. Harris

Date 8/1/96

12 Response Due Date

20 working days from issuance

13 Affected Organization QA manager Issuance Approval: (QAR for PR)

Printed Name

R.E. SPENCE

Signature

Robert B. Spence

Date 8.7.96

22 Corrective Action Verified

QAR

Donald J. Harris

Date 11-19-96

23 Closure Approved by: (PR for PR)

Robert B. Spence

Date 11/25/96

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PERFORMANCE/DEFICIENCY REPORT RESPONSE

14 Remedial Actions:

See Continuation Page.

15 Extent of Condition: (Not required for PR)

See Continuation Page.

16 Root Cause Determination: (Not required for PR)

Required ☐ Yes ☒ No

17 Action to Preclude Recurrence: (Not required for PR)

Required ☐ Yes ☒ No

18 Corrective Action Completion Due Date:

September 16, 1996

19 Response by: *for R. Richards OS F Ell*

☒ Initial

☐ Amended

Date 9/4/96

Phone 818-0641

20 Response Accepted *Amended*

QAR *Donald J. Harris*

Date 10/10/96

21 Response Accepted (N/A for PR):

AOQAM

N/A

Date

9/5/96 Brady to Spencer

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BLOCK 14 - REMEDIAL ACTION:

SNL Department 6853 will verify for the cited procurement that the documentation (calibration certificates for each instrument) required by the procurement document was delivered and that those documents contain all the required information. A revised record copy of the PPC for the cited procurement, which includes reference to this DR, will be submitted to the Local Records Receiving Organization by the QA Department. These remedial actions will be completed by September 16, 1996.

BLOCK 15 - EXTENT OF CONDITION:

Even through the Procurement Planning Checklist (PPC) for this purchase was incorrectly marked to indicate that QA requirements (other than an acceptance evaluation of services by the user of the service provided) were not applicable, the Purchase Requisition Form itself included the appropriate QA requirements for the calibration service included in this procurement of geotechnical monitoring hardware. Procurement documents for all other purchases of geotechnical monitoring equipment by SNL Department 6853 are being reviewed to determine if PPCs were completed correctly or not. Of the 18 procurements initially reviewed, the majority appear to be completed correctly. Minor errors on several (e.g. failure to check a box for applicability of QA to the procurement although QA requirements were specified, failure to check the applicability boxes on standard commercial purchases) will be corrected. Because of the minor nature of this deficiency, no root cause analysis is warranted and no additional action to preclude recurrence is needed.

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Block 15, "Extent of Condition"

SNL committed to review procurement documents for all other purchases of geotechnical monitoring equipment procured by SNL Department 6853. When will this review be completed (date), and how will the records be corrected (revised); and will they include this Deficiency Report number on the record?

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PERFORMANCE/DEFICIENCY REPORT RESPONSE

14 Remedial Actions:

SEE Amended Response CONTINUATION PAGE

15 Extent of Condition: (Not required for PR)

SEE Amended Response CONTINUATION PAGE

16 Root Cause Determination: (Not required for PR)

Required

☐ Yes

☐ No

17 Action to Preclude Recurrence: (Not required for PR)

Required

☐ Yes

☐ No

18 Corrective Action Completion Due Date:

10/10/96
SEE A/R CONTINUATION PAGE

19 Response by:

☐ Initial

☒ Amended

SEE AMENDED RESPONSE CONTINUATION
Date _____ Phone _____ PAGE

20 Response Accepted

QAR Manalaf Harris Date 10/10/96

21 Response Accepted (N/A for PR):

AOQAM James B. Layton Date 10/18/96

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YM-96-D083, Amended Response

Block 14, Remedial Action:

SNL department 6853 will verify, for the cited procurement, that the documentation (calibration certificates for each instrument) required by the procurement document was delivered and that those documents contain all the required information. A revised record copy of the Procurement Planning Checklist (PPC) for the cited procurement, which includes reference to this DR, will be submitted to the Local Records Receiving Organization by the QA Department. These remedial actions will be complete by October 10, 1996.

Block 15, Extent of Condition:

Even though the Procurement Planning Checklist for this purchase was incorrectly marked to indicate that QA requirements (other than acceptance evaluation of services) were not applicable, the Purchase Requisition form itself included the appropriate QA requirements for the calibration service provided for this procurement of geotechnical monitoring hardware. Therefore there is no adverse effect for the cited procurement.

Procurement documents for all other purchases of geotechnical monitoring equipment by SNL Department 6853 have been reviewed to determine if PPCs were completed correctly or not. Of the 18 such purchases reviewed, PPCs for the majority are completed correctly. Minor errors occurred on a number of PPCs (e.g., failure to check a box for applicability of QA to the procurement in a case where QA requirements were clearly specified). These documents will be corrected as specified in SNL QAIP 17-1, and this DR will be cited on the documentation for any corrected records that must be submitted to the YMP Records Processing Center for the purpose of replacing records already there.

Because of the minor nature of this deficiency, no root cause analysis is warranted, and no additional action to preclude recurrence is needed.

Block 18, Corrective Action Completion Due Date:

October 31, 1996

Block 19, Response by:

✓ Amended Robert R. Richards 

Date: Oct. 2, 1996 Phone: 505 848 0786

**YUCCA MOUNTAIN SITE
CHARACTERIZATION
PROJECT**

Sandia
National
Laboratories

Procurement Planning Checklist

Section I: Tracking Information

PR/Contract No.: AS-0296 Change No.: 00 WBS No.: 1.2.3.14.2

P&S Account No. or Summary Account No.: 0139 592000

Is this activity subject to the SNL YMP QA Program Controls?

☒ Yes ☐ No

Is this PROCUREMENT action subject to the SNL YMP QA Program Controls?

☒ Yes ☐ No

Reason if different: _____

Delegated Representative: James T. George

Section II: Quality Assurance Requirements

This section must be completed for all procurements that are determined to be subject to the SNL YMP QA Program or other QA controls specified by the Delegated Representative. (See instructions for guidance.)

1. If competitively bid, is Proposal Evaluation Plan included? N/A ☐ Yes ☐ No
2. The SNL YMP QA PROGRAM will control activity in this procurement. ☒ Yes ☐ No

If "Yes," indicate the specific QA Procedures that are to be included on the contract.

By inclusion of the instruction on the second page of the PR, "The instrumentation is to be calibrated...return after calibration," the supplier is informed to implement the QA requirements, which are based upon the OCRWM QARD, cited in SNL letter to Mike McDonough, Geokon, dated Apr. 18, 1995, from John Pott, SNL.

3. CONTRACTOR'S QA PROGRAM will control activity in this procurement. ☐ Yes ☒ No
- If "Yes," you must include the "Mandatory Hold Point" clause listed below. Identify any exceptions of the Contractor's QA Program allowed for this procurement.

4. The following Standard Procedure Clauses may be included in the contract Statement of Work (SOW) as deemed necessary for guidance, clarification, and implementation of the required SNL YMP elements listed above.

- A. Subtier Contractor QA Program Required
- B. Right of Access for Surveillance/Audits
- C. Deviations from Requirements (Services)
- D. Procurements (by Contractor)/SNL PI Notification Required

☒ E Document/Report Submittal Requirements

☒ F Quality Assurance Records Requirements

G. Mandatory Hold Point/Witness Points

} Included via reference mentioned in the text under 2, above.

5. Include one or more of the following Standard Item/Service Acceptance Clauses to provide verification of acceptability of the procured item or Service.

☒ A Acceptance of Service by the User

B. Certificate of Conformance

Section III: Authorizations

Delegated Representative: _____

Date: 10/10/96

Quality Assurance Reviewer: _____

Date: 10/10/96

Comments: N/A

(Sign, date, and attach completed Checklist to the PR package.)



Sandia National Laboratories

Operated for the U.S. Department of Energy by
Sandia Corporation

Albuquerque, New Mexico 87185-1325

date: October 22, 1996

to: R. R. Richards, MS-1333 (6812)

WBS 1.2.3.14.2

QA

efs
11/1/96

from:  James T. George, MS-1325 (6852)

subject: Response to Deficiency Report YM-96-D083

SNL Geotechnical Investigations Department 6852 has reviewed certificates of calibration associated with Purchase Requisition (PR) AS-0296 and found them to satisfy all YMP Quality Assurance requirements. It must be noted however, that a minor discrepancy in PR number does exist between that cited in the Deficiency Report and that reported on the certificates. The Deficiency Report cites PR AS-0296 while all calibration certificates cite PR AS-0295. The discrepancy apparently results from the vendor being supplied two different PR numbers in documents related to this order. The original PR specifies AS-0296 while subsequent shipping instructions from SNL purchasing reflect AS-0295. All equipment serial numbers associated with this procurement action have been checked and found to correspond to those of the original equipment supplied to the vendor for calibration services.

cc:

MS-1325 Laurence S. Costin, 6852

MS-1399 Michael C. Brady, 6850

MS-1325 James T. George, 6852

YMP: 9.1.3.2: CAR: QA: DR YM-96-D083

efs 11/1/96

YMP RPC



Sandia National Laboratories

Operated for the U.S. Department of Energy by
Sandia Corporation

Albuquerque, New Mexico 87185-1333

date: October 31, 1996

WBS: 1.2.3.2.7.3.4
QA

to: Deviation Report YM-96-D083 File

from:


F. J. Schelling, 6850

subject: Procurement Document Review for YM-96-D-083

The extent of condition (Block 15) for the amended response to Deviation Report YM-96-D083 indicated that the procurement documents for purchases of geotechnical monitoring equipment in fiscal year 1996 by Dept. 6853 would be reviewed to determine if the Procurement Planning Checklists were completed correctly or not, and that incorrect or incomplete checklists would be corrected. This memorandum summarizes the results of that investigation and serves as objective evidence of its completion.

The following Purchase Requisition numbers were identified from the Purchase Requisition (PR) Logbook as associated with procurements made by Dept. 6853 during FY96:

AP-6660	AS-0276	AS-0287
AP-6661	AS-0278	AS-0311
AS-0271	AS-0279	AS-0313
AS-0273	AS-0280	AS-0314
AS-0274	AS-0282	AS-0319
AS-0275	AS-0283	AT-9239

(AS-0296 is not included in the above list as it was reviewed and corrected as part of the remedial action for this Deviation Report.). Of the listed PRs, two, AS-0274 and AS-0283, were cancelled before procurement and never processed. Of the remaining 16, 12 were completed properly. Minor corrections, however, were needed and made to the remaining four PRs: AS-0273, AS-0275, AS-0276, and AS-0282. When the records packages for these documents is completed, they will be submitted to Project records.

Copy to:
6850 F. J. Schelling MS-1333
6853 J. J. Danneels

YMP:9.1.3.2:CAR:QA:DR YM-96-D083
YMP RPC

Exceptional Service in the National Interest

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VERIFICATION OF CORRECTIVE ACTION FOR DR YM-96-D-083

Block 22, Corrective Action Verified

Extent of Condition:

Verified Sandia National Laboratory (SNL) reviewed 18 Procurement Requisitions (PR) initiated during 1996. Of the 18 PRs, two each was cancelled, 12 were completed correctly, and 4 each PRs (AS-0273, AS-0275, AS-0276 and AS-0282) had minor corrections to the in-process Procurement Planning Checklists (PPC). SNL documented the extent of condition on a letter to: Deficiency Report (DR) YM-96-D-083 file, From J. Schelling 6850, Subject: Procurement Document Review for DR YM-96-D-083, dated 10/31/96.

Remedial Action:

Verified a new Procurement Planning Checklist for PR AS-0296 was generated, which included the appropriate QA Requirements to Geokon, Inc. SNL generated a cover letter from J. T. George, MS-1325 to R. R. Richards, MS-1333, Subject: Response to DR YM-96-D-083, dated 10/22/96, which discussed the PPC and its submittal to records in accordance with SNL QAIP 17.1.

Donald J. Harris
Donald J. Harris, QAR

November 19, 1996
Date