



Department of Energy

Washington, DC 20585

MAR 14 1997

QA: L

L. D. Foust, Technical Project Officer  
for Yucca Mountain Site  
Characterization Project  
TRW Environmental Safety Systems, Inc.  
1180 Town Center Drive, M/S 423  
Las Vegas, NV 89134

VERIFICATION OF CORRECTIVE ACTION AND CLOSURE OF DEFICIENCY  
REPORT (DR) YM-96-D-042 RESULTING FROM U. S. DEPARTMENT OF ENERGY/  
HEADQUARTER'S OFFICE OF QUALITY ASSURANCE (OQA) AUDIT HQ-96-D-01

The OQA staff has verified the corrective action to DR YM-96-D-042 and determined the results to be satisfactory. As a result, the DR is considered closed.

If you have any questions, please contact either James Blaylock at (702) 794-1420 or James T. Schmit at (702) 794-1472.

*James Blaylock*  
Donald G. Horton, Director  
Office of Quality Assurance

OQA:JB-1144

Enclosure:  
DR YM-96-D-042

cc w/encl:  
T. A. Wood, DOE/HQ (RW-55) FORS  
J. O. Thoma, NRC, Washington, DC  
S. W. Zimmerman, NWPO, Carson City, NV  
B. R. Justice, M&O, Las Vegas, NV  
R. A. Morgan, M&O, Las Vegas, NV  
Records Processing Center = "107"

cc w/o encl: *on the shelf*  
W. L. Belke, NRC, Las Vegas, NV  
J. T. Schmit, OQA/QATSS, Las Vegas, NV  
D. G. Sult, OQA/QATSS, Las Vegas, NV  
R. W. Clark, DOE/OQA, Las Vegas, NV

102.7

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NH 33  
WM 11

9703200037 970314  
PDR WASTE PDR  
WM-11

200022

Recip: NMS6/HLUR



THIS IS A RED STAMP

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

*rec. 3/14/97*  
*3-14-97*

8.  Performance Report  
 Deficiency Report  
YM-96-D-042  
NO. YMOAD-96-0042  
PAGE 1 OF 3  
QA: L

PERFORMANCE/DEFICIENCY REPORT

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

2 Related Report No.  
HQ-ARC-96-01, CAR YM-95-028

3 Responsible Organization:  
CRWMS M&O

4 Discussed With:  
A. Segrest

5 Requirement/Measurement Criteria:  
QARD Section 17.0

Paragraph 17.2.2.D states in part: "... Records shall be considered QA records when stamped, initialed, or signed and dated as complete."

QAP-17-1, Rev. 4 (Record Source Responsibilities for Inclusionary Records), Para. 5.4.2.E.1 states: "The Record Source shall: submit original or copies of individual inclusionary records, records package segments, and records packages required by the procedures governing an activity, hardcopy and unbound whenever possible, to the RPC no later than 20 working days after completion (e.g., upon final approval signature) for the Nevada Site...."

6 Description of Condition:  
Contrary to the above requirements, QA records were not submitted to the RPC within 20 working days after completion.

Examples:

1. An Impact Review Action Notice requesting review of a letter from Hollins to Segrest (per NLP-3-26, Rev. 0) was completed 8-11-95 and had not been submitted to the RPC as of 2/14/96.
2. Two (2) Title III Documentation Instructions (DI# BABEA0000-01717-5600-00001, Rev. 0 and DI# BABEA0000-01717-5600-00002, Rev. 0) were completed 11-3-95 and had not been submitted to the RPC as of 2/14/96.
3. Engineering Change Requests No. E96-0035, E96-0036, E96-0037, and E96-0038 were completed 12/21/95 and submitted to the RPC 2/6/96. (Continued)

7 Initiator  
J. T. Schmit *J. T. Schmit* Date 02/16/96

9 QA Review  
QAR J T Schmit *J. T. Schmit* Date 02/16/96

10 Response Due Date  
3-19-96 30 WORKING DAYS FROM ISSUANCE

11 QA Assurance Approval  
QAR (PRI)/AOCAM (DRI) *[Signature]* Date 2-26-96

12 Remedial Actions:  
  
*SEE PR/OR CONTINUATION P. 4 OF*

*102..7*

13 Remedial Action Response By  
A.M. SEGREST *[Signature]* Date 3-26-96

14 Remedial Action Due Date  
MAY 3, 1996 *[Signature]* Date 6-3-96

15 Remedial Action Response Acceptance  
QAR *[Signature]* Date 4/3/96

16 PR Verification/Closure  
QAR N/A Date

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PR/DR CONTINUATION PAGE

6 Description of Condition

Examples (cont'd)

4. QAP-17-6, Rev. 3, (Protection, Retrieval and Retention of Inclusionary Records) was completed and made effective 8/21/95, and was submitted to the RPC on 2/14/96.
5. B00000000-01717-4600-00057, Rev. 01, "Technical Document Preparation Plan for the MGDS Advanced Conceptual Design (Revised) Report" was approved 1/15/96 and had not been submitted to the RPC as of 2/15/96.
6. Borehole Access Request/Completion Report for USW-WT10 was completed 11/13/95 and had not been submitted to the RPC as of 2/14/96.
7. Borehole Access Request/Completion Reports dating back to 3/30/93 were submitted to the RPC on Transmittal No. DRC-164 dated 2/9/96.

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YKOAD 96 D042  
 DR NO. 57 411/SL  
 PAGE 3 OF 3  
 QA: L

DEFICIENCY REPORT

17 Recommended Actions:

1. Submit all past due records to the RPC in accordance with QAP-17-1, Rev. 4.
2. Revise PAR for QAP-17-1, Rev. 4, dated 8-7-95 to eliminate change to Para. 5.4.5.A.10, which is in conflict with QARD Section 17.2.2.D.

18 Investigative Actions:

SEE PR/DR CONTINUATION PAGE 5 OF

19 Root Cause Determination:

SEE PR/DR CONTINUATION PAGE 5 OF

20 Action to Preclude Recurrence:

SEE PR/DR CONTINUATION PAGE 5 OF

21 Response by: AM. SEBEST <i>[Signature]</i> Date 3-26-96	22 Corrective Action Completion Due Date: <del>AAAY 3, 1996</del> 6-3-96 <i>[Signature]</i> 11-26-96
23 Response Accepted QAR <i>[Signature]</i> Date 4/3/96	24 Response Accepted AOQAM <i>[Signature]</i> Date 4-8-96
25 Amended Response Accepted QAR N/A Date	26 Amended Response Accepted AOQAM N/A Date
27 Corrective Actions Verified QAR <i>[Signature]</i> Date 3/6/97	28 Closure Approved by: AOQAM <i>[Signature]</i> Date 3/12/97

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PR/DR CONTINUATION PAGE

Verification of Response Implementation  
YM-96-D-042

1. *Review training course outline to verify that the course fulfills the requirements specified in the Recurrence Control provided by the M&O.*

Results of Verification

Reviewed M&O training course outline entitled "AP-17.1Q, Record Source Responsibilities for Inclusionary Records" (See Attachment I). This training course fulfills the requirements specified in the Recurrence Control provided by the M&O.

2. *Verify that first line supervisors and above have been trained to "AP-17.1Q, Record Source Responsibilities for Inclusionary Records".*

Results of Verification

The following management/supervisory personnel were randomly selected to verify that appropriate personnel were trained:

*A. Las Vegas*

* T. Touchstone	* S. Nelson
* E. Weaver	* J. Bailey
* B. Thom	* H. Benton
* D. Soeder	* J. Naff
* J. Houseworth	* L. Colehour

*B. Vienna*

* E.J. McDonald	* M. Wisenburg
* B. Cole	

The above personnel were trained to "AP-17.1Q, Records Source Responsibilities for Inclusionary Records". (See Attachment II, Training Attendance Records).

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NO. YM-96-D(14)?

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PR/DR CONTINUATION PAGE

3. *Verify that additional personnel having record source responsibilities were selected by M&O Management to attend AP-17.1Q training.*

**Results of Verification**

Over 200 M&O management, supervisory and staff personnel received AP-17.1Q training. (See Attachment III, February 24, 1997 Alphabetized Listing of Trained Personnel Note : This is a partial listing, see Attendance Sheets for identification of all M&O personnel trained to AP-17.1Q).

4. *Verify that a Senior Management Policy Statement regarding the role of record sources has been issued.*

**Results of Verification**

Interoffice Correspondence entitled "Compliance w/ Records Procedures, from R.L.Strickler, dated 21 October 1996 was issued to "All M&O Employees". ( See Attachment IV, Compliance W/ Records Procedures).

5. *Verify that the following documents identified in Remedial Action have been submitted to the Records Processing Center (RPC) :*

- \* *Title III Documentation Instructions, Rev.0 (DI#BABEA0000-01717-5600-00001)*
- \* *Technical Document Preparation Plan for the MGDS Advanced Conceptual Design (Revised) Report, Rev.01 (B00000000-01717-4600-00057)*

**Results of Verification**

The above referenced have been submitted to the Records Processing Center.

- \* Title III Documentation Instructions, Rev.0 - See MOL.1996 0724.0262
- \* Technical Document Preparation Plan for the MGDS Advanced Conceptual Design (Revised), Rev.1 - See MOL.1996 1031.0002

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PR/DR CONTINUATION PAGE

6. *Verify adequacy of Extent of Condition evaluation documented in Product Integrity Report PI-96-059 and YM-96-D042 Amended Response II.*

**Results of Verification**

Product Integrity Report PI-96-059 (See Attachment V) and Amended Response II identify the documents evaluated by the M&O during the Extent of Condition evaluation. Additional documents were not evaluated to verify the adequacy of the M&O's Extent of Condition evaluation. The M&O's compliance relative to the timely submittal of QA records to the Records Processing Center (RPC) was verified during Audit No. M&O-ARC-97-09-01 via Quality Assurance Checklist Item No. 17-14. Records packages checked during this audit were all submitted to the RPC within the time frames specified in AP-17.1Q, Rev.0, ICN 0. This verification is considered adequate to accept the M&O's Extent of Condition evaluation.

7. *Verify that Recommended Actions identified in YM-96-D042 have been adequately addressed.*

**Results of Verification**

- \* Past due records verified in Item 5 above were submitted to the RPC in accordance with M&O QAP-17.1.
- \* M&O QAP-17.1 has been superseded by AP-17.1Q. The action recommended was associated with the following terminology:

“Submit completed records to the RPC within 20 working days after signing Table of Contents Form”.

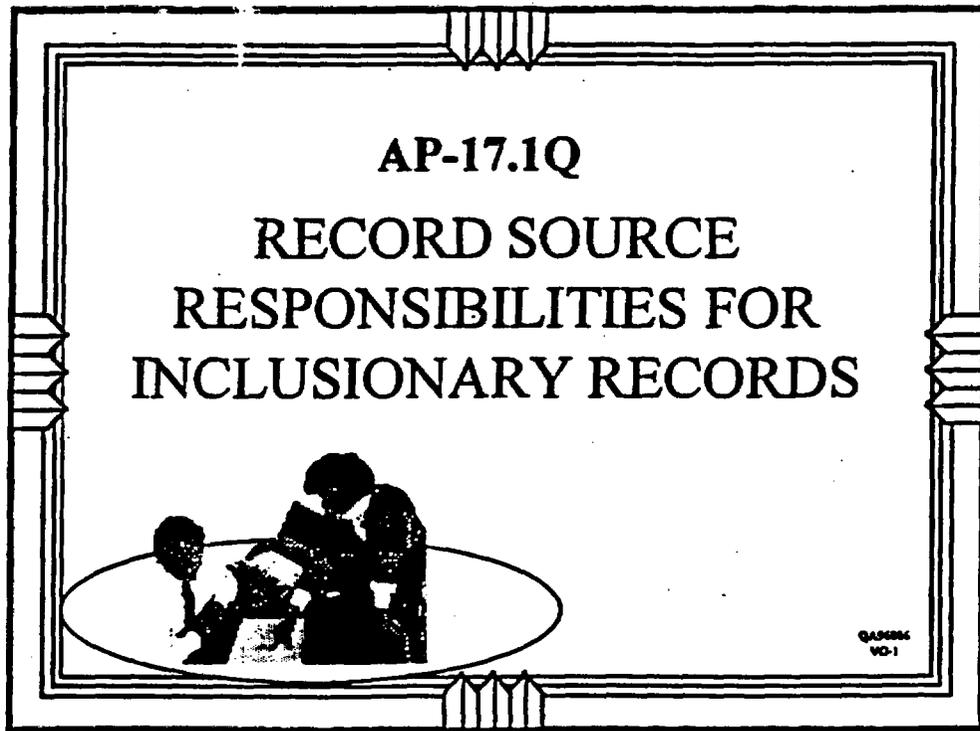
This terminology has been deleted from AP-17.1Q.

*James Achil 3/6/97*

# AP-17.1Q

## Record Source Responsibilities for Inclusionary Records





Notes:

## OBJECTIVES

- ◆ Identify new terminology introduced in AP-17.1Q.
- ◆ Name three major changes in process.
- ◆ Describe three main areas of responsibility for a record source.

GAMMA  
VC-1

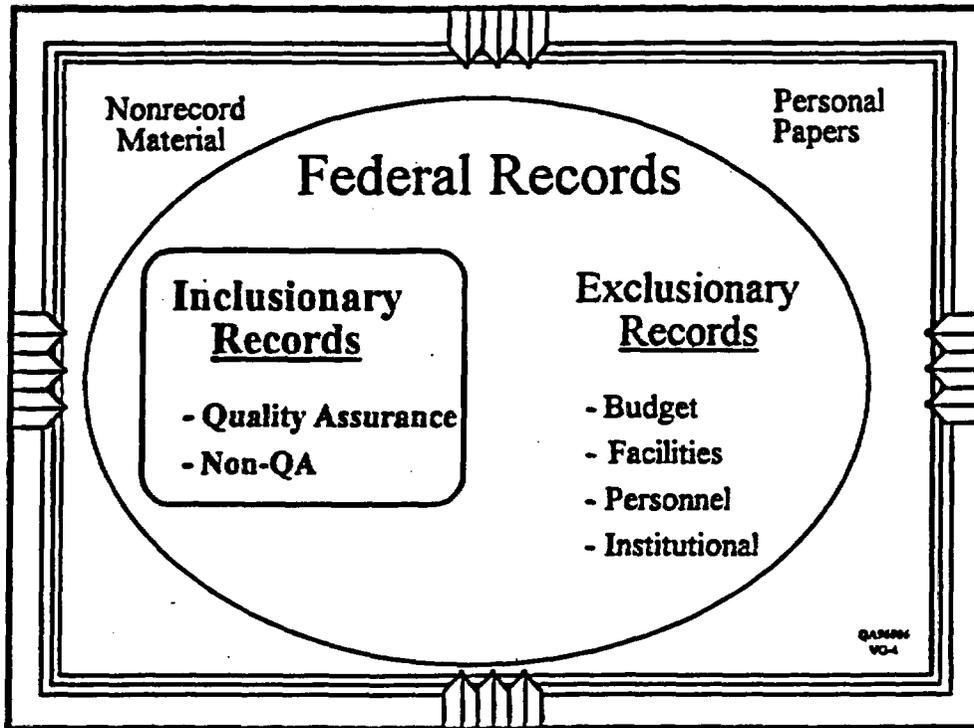
Notes:

## New Terms

- ◆ Adequate and Proper Documentation
- ◆ American Standard Code for Information Interchange (ASCII)
- ◆ Inclusionary Record
- ◆ Indexing

QALM001  
VO-1

Notes:



Notes:

## New Terms

- ◆ Adequate and Proper Documentation
- ◆ American Standard Code for Information Interchange (ASCII)
- ◆ Inclusionary Record
- ◆ Indexing

GA2000  
V0.1

Notes:

## New Terms, con't

- ◆ In-process Record
- ◆ Machine Readable
- ◆ Readily Available
- ◆ Records Processing Center
- ◆ Traceability Designator

GALSON  
10-4

Notes:

QAP-3-12, Rev. 7

## 6. RECORDS

The following Lifetime and Non-permanent QA records generated as a result of this procedure shall be collected (as applicable) by the Responsible Manager (as defined in Subsection 3.4) and submitted to the Records Processing Center in accordance with QAP-17-1...

QAP-3-12  
Rev. 7

Notes:

QAP-2-3, Rev. 7

**5.2.2 The appropriate Systems Engineering Manager shall:**

**b) if acceptable, submit the proposed Q-List revision by letter to DOE (Yucca Mountain Site Characterization Office Deputy Project Manager for MGDS or RW-40 for WAST), and to the Records Processing Center (RPC).**

QAP-2-3  
VCS

Notes:

QAP-3-5 Rev. 6

**5.4 TECHNICAL DOCUMENT APPROVAL**

The Responsible Manager shall:

- E. ensure the records package is submitted to the Records Processing Center in accordance with Section 6.

QAP-3-5  
VO-3

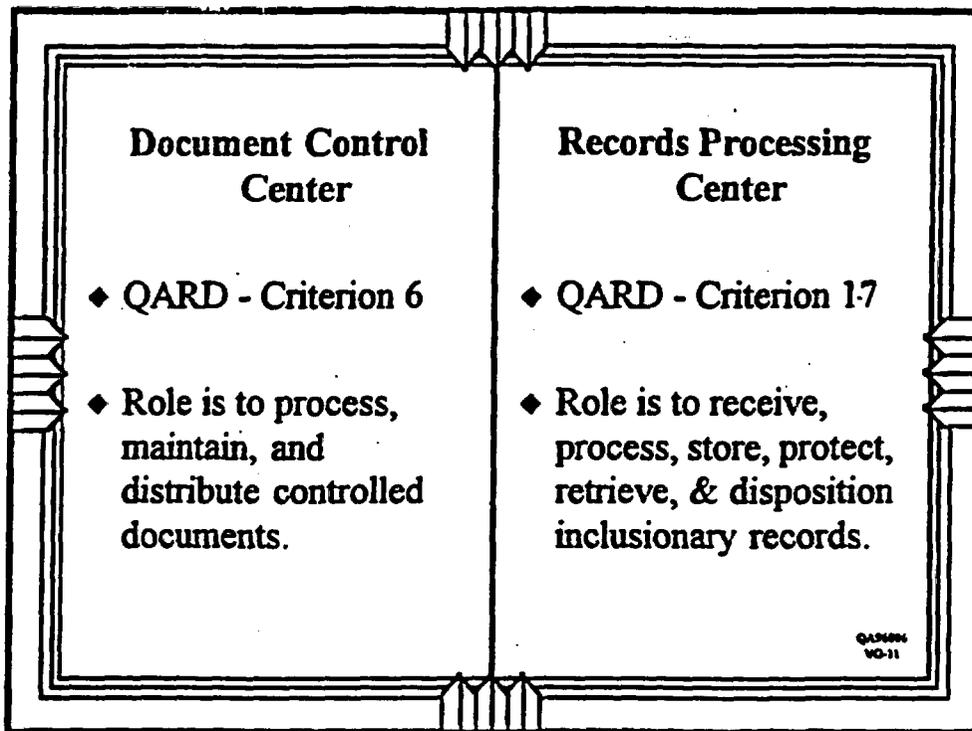
Notes:

## New Terms, con't

- ◆ In-process Record
- ◆ Machine Readable
- ◆ Readily Available
- ◆ Records Processing Center
- ◆ Traceability Designator

GASPARI  
VC-11

Notes:



Notes:

## New Terms, con't

- ◆ In-process Record
- ◆ Machine Readable
- ◆ Readily Available
- ◆ Records Processing Center
- ◆ Traceability Designator

GARSON  
VO-12

Notes:

## Omitted/Deleted Terms

- ◆ Authentication/Authenticator
- ◆ Compiler
- ◆ Backlog Records
- ◆ Indeterminate
- ◆ Document Identifier
- ◆ Electronic Record

GANNON  
VC-11

Notes:

## Omitted/Deleted Terms, con't

- ◆ Local Records Receiving Organization
- ◆ Records Package Segment
- ◆ Records Package Tracking Number
- ◆ YMSCO Research and Study Center
- ◆ SCPB Reference Number

QAN004  
VO-14

Notes:

## Process Changes

New requirements for first page of record:

### Required

- \* Title
- \* Date
- \* Author Organization
- \* QA Designator

### If applicable

- \* Author Name
- \* Traceability Designator
- \* Identifiers

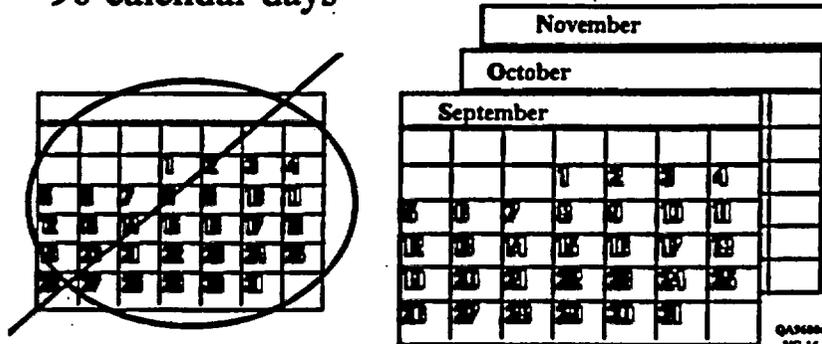
QAS006  
VO-11

Notes:

22. 8104

## Process Changes, con't

Submittal time extended from 20 work days to  
90 calendar days

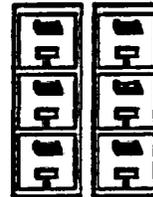


Notes:

## Process Changes, con't.

The maximum time allowed for temporary storage of records is 1 year. At the end of a year the records must be submitted to the RPC.

TEMPORARY  
STORAGE



045604  
VC-17

Notes:

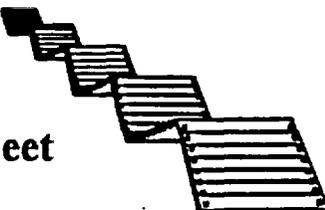
## Process Clarification

- ◆ Clearly identify zeros.
- ◆ Privileged Records Access List
- ◆ Requirements specific to QA Records
- ◆ Replacement of QA Vs. Non-QA records
- ◆ Records Package Submittals
- ◆ QA designations

QA0000  
VO-12

Notes:

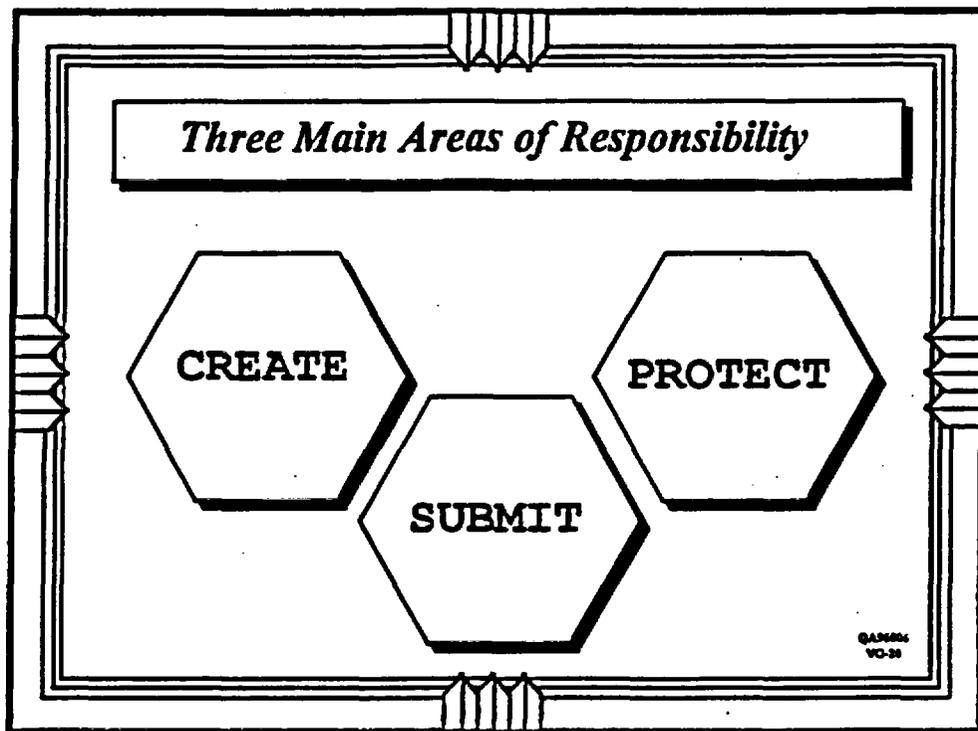
**Forms**



- ◆ **Special Instruction Sheet**
- ◆ **Transmittal/Receipt Acknowledgment**
- ◆ **Records Package Table of Contents**

GANNON  
VC-19

Notes:



Notes:

## Lessons Learned

- ◆ **Adverse Condition (YMQAD-96-D042)**
  - QA records were not submitted to RPC within 20 work days after completion
  
- ◆ **Remedial Action**
  - Submit all past due records
  - Revise PAR for QAP-17-1

QAS600K  
VO-21

Notes:

## Lessons Learned, con't

### ◆ Root Cause

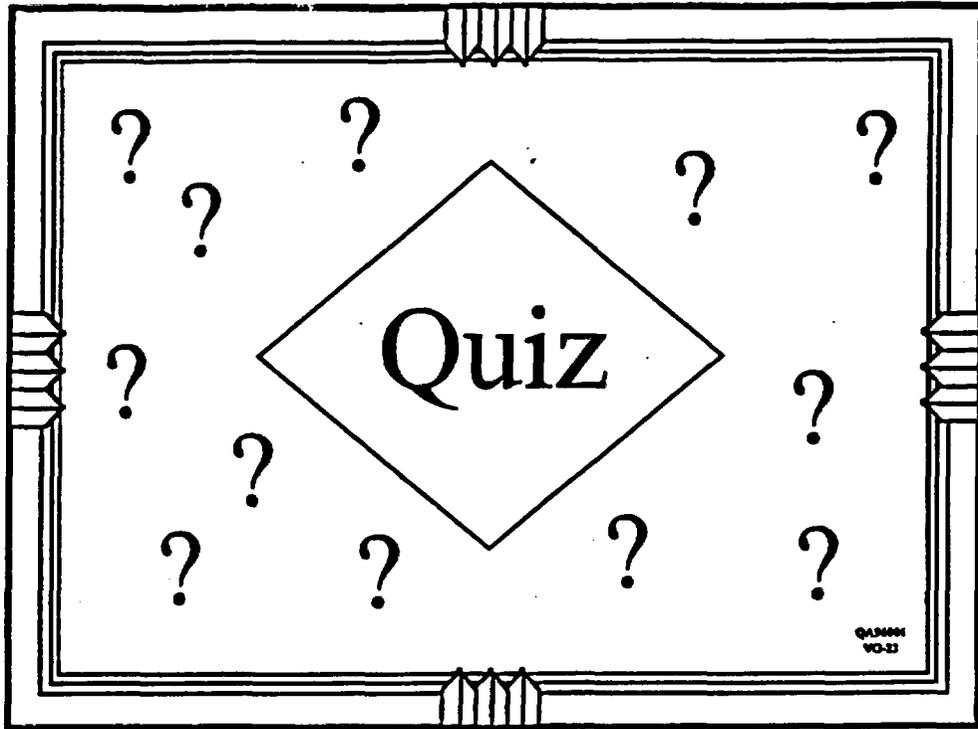
- Procedure used improperly
- Inadequate Supervision
- Incomplete Training

### ◆ Action to Prevent Recurrence

- Mandatory Classroom Training
- Re-emphasize roles of Records Coordinators
- Re-emphasize importance of records turnover

GADP/04  
VO-22

Notes:



Notes:

## Summary

- ◆ Importance of understanding terminology
- ◆ Main changes in process in AP-17.1
- ◆ Three main areas of responsibility
- ◆ Were class expectations met?
- ◆ Questions ??????????

QAP0001  
VO-34

Notes:

**TRAINING ATTENDANCE RECORDS**

Complete only applicable items.

Make all entries below in dark ink; single line, initial, and date all errors.

2. <input checked="" type="checkbox"/> Classroom Training <input type="checkbox"/> Briefing <input type="checkbox"/> Other _____	3. TITLE/LESSON PLAN/REV. NO. AP-17.1Q, Record Source Responsibilities for Inclusionary Records .. QA96006	
	4. DATE OF TRAINING 2/20/97	5. LENGTH 1.5 hours

6. BRIEF SUMMARY OF MATERIAL COVERED:

This training provides an overview of AP-17.1Q, Revision 0. It includes a discussion of terminology and process changes introduced in this procedure. It also covers lessons learned from Deficiency Report YMQAD-96-042.

7. INSTRUCTOR OR BRIEFER:

Cindy Sellards *Cindy S Sellards*

8. PRINTED NAME OF ATTENDEE (Last, First, Middle Initial)	9. SIGNATURE OF ATTENDEE	10. M & O ORGANIZATION
* BAILEY, JACK, W	<i>JW Bailey</i>	E+I
NEWITT, CHARLES J.	<i>CJ Newitt</i>	PPIC
VALLELY, Robert J.	<i>RV Vallely</i>	Training
Taylor, Jr. Malcolm E.	<i>M.E. Taylor</i>	M&O/Repository/Dept
NETTI, DONALD A.	<i>DN Nett</i>	WASTE PACKAGE DEVEL
BOSTIAN, Robert S	<i>RS Bostian</i>	PPIC
LEWIS, ROBERT F.	<i>RF Lewis</i>	Tech Data MGMT
MCNEILL, GENEVIEVE K.	<i>GK McNeill</i>	I.F.A
PRATT, DAMELA J.	<i>DP Pratt</i>	TECH DATA MANAGEMENT
Harris, Dawn A.	<i>DA Harris</i>	R&D
Herbert, Judy K	<i>JK Herbert</i>	RMD
Robin N. Datta	<i>RN Datta</i>	SPO
David S. Kessel	<i>DS Kessel</i>	SPO
SCHRUCK, BILL R.	<i>BR Schruck</i>	I.R.M
RINDSKOPF, M. SCOTT	<i>MS Rindskopf</i>	Systems Engineering

CRWMS/M&O

# Training Attendance Record

QA: L

1. Page: 1 Of: 1

Complete only applicable items.

Make all entries below in dark ink; single line, initial, and date all errors.

2. <input checked="" type="checkbox"/> Classroom Training <input type="checkbox"/> Briefing <input type="checkbox"/> Other _____	3. TITLE/LESSON PLAN/REV. NO. AP-17.1Q, Record Source Responsibilities for Inclusionary Records - QA96006	
	4. DATE OF TRAINING 1-23-97	6. LENGTH 1.5 hours

5. BRIEF SUMMARY OF MATERIAL COVERED:

This training provides an overview of AP-17.1Q, Revision 0. It includes a discussion of terminology and process changes introduced in this procedure. It also covers lessons learned from Deficiency Report YMQAD-96-042.

7. INSTRUCTOR OR BRIEFER:

Cindy Sellards

*Cindy Sellards*

8. PRINTED NAME OF ATTENDEE (Last, First, Middle Initial)	9. SIGNATURE OF ATTENDEE	10. M & O ORGANIZATION
TURNER PAUL E	<i>Paul E Turner</i>	TRAINING
KIMURA, Gene N.	<i>Gene N. Kimura</i>	MGDS ESE SURFACE
BURKE, PETER R.	<i>Peter R. Burke</i>	PROJECT CONTROLS
Rogers, Ralph D.	<i>Ralph D. Rogers</i>	PMO/WCFS
KIMBLE, ROBERT L.	<i>R. Kimble</i>	SATC/TEST
HASTINGS, PETER S.	<i>Peter S. Hastings</i>	MGDS SYS ENG
THOM, C. BARRY	<i>C. B. Thom</i>	" " "
CHAGNON, CARL W.	<i>Carl W. Chagnon</i>	MGDS WASTE PKG DEVELOP.
WEAVER, EARL M.	<i>Earl M. Weaver</i>	REG. - INT. PLANNING
Cline, K. Michael	<i>K. Michael Cline</i>	PMO/WCFS
PENDLETON, MARTHA W	<i>Martha W Pendleton</i>	REG. OPERATIONS
Memory, Richard D.	<i>Richard D. Memory</i>	Systems Engineering

7207  
4071  
1751  
6301  
4069  
94  
\*264  
41  
\*7343  
20  
520  
4559

Complete only applicable items.

2. TITLE/LESSON PLAN/REV. NO.		3. DATE OF TRAINING
AP-17.1Q, Record Source Responsibilities for Inclusionary Records		2-26-97
4. INSTRUCTOR OR BRIEFER		
Cindy Scillard		
5. PRINTED NAME OF ATTENDEE (Last, First, Middle Initial)	6. SIGNATURE OF ATTENDEE	7. M & O ORGANIZATION
HAYES Kathy D.	Kathy Hayes	RCC
Steel, Kathleen J.	Kathleen J. Steel	RCC
Brooks, Gwendolyn	Gwendolyn Brooks	RCC
* Touchstone, Thomas E.	Thomas E. Touchstone	SCO
Medeiros, Diana	Diana Medeiros	RCC
Lacey, Sandra J.	Sandra J. Lacey	TRW/MFO
MARÉ, CAROL J.	Carol J. Maré	RCC
ODRAD, Vicky A.	Vicky A. Odrad	TRW/MFO
COX, JOHN O.	John O. Cox	RECORDS
WAGNER, RICHARD C.	Richard C. Wagner	Sup Engrg/Artis
WARREN, Maria	Maria Warren	RCC
Lebeoul, Kenneth W.	Kenneth W. Lebeoul	RCC
CONNELL, SANDRA A.	Sandra A. Connell	RCC
RILEY, JOY M.	Joy M. Riley	RCC
* SOEDER, DANIEL J.	Daniel J. Soeder	SPO (SITE EVALUATION)
STUART MARY S	Mary S. Stuart	RCC
FRANKS, DOUGLAS M.	Douglas M. Franks	LICENSING
STIGMANN, CAROL M.	Carol M. Stigmann	RMD
BOYLES, ALICE V.	Alice V. Boyles	RMD

Complete only applicable items.

Make all entries below in dark ink; single line, initial, and date all errors.

2.  Classroom Training  
 Briefing  
 Other \_\_\_\_\_

3. TITLE/LESSON PLAN/REV. NO.  
 AP-17.1Q, Record Source Responsibilities for  
 Inclusionary Records - QA96005

4. DATE OF TRAINING

2/26/97

5. LENGTH

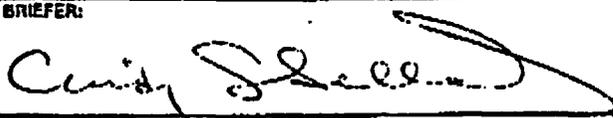
1.5 hours

6. BRIEF SUMMARY OF MATERIAL COVERED:

This training provides an overview of AP-17.1Q, Revision 0. It includes a discussion of terminology and process changes introduced in this procedure. It also covers lessons learned from Deficiency Report YMQAD-96-042.

7. INSTRUCTOR OR BRIEFER:

Cindy Sellards



8. PRINTED NAME OF ATTENDEE (Last, First, Middle Initial)	9. SIGNATURE OF ATTENDEE	10. M & O ORGANIZATION
Roscher, Robert T.	R. T. Roscher	ESF DESIGN
DAVIS, TINA R	Tina R. Davis	
<del>Andr</del>		
Gondiaga, Andrea R	Andrea R Gondiaga	RCC
Dunn, Jean-michelle	Jean-michelle Dunn	RCC
Beard Wanda	Wanda Beard	RCC
Coulter, STARIA	Starla Coulter	RDC
Van Winkle, George S	George Van Winkle	RCC
HONER, PATRICIA	Patricia Honer	
ANDERSON JERRY A	Jerry Anderson	RCC
KNIGHT STEPHEN E	Stephen E Knight	RCC
Hassworth, James E.	James E. Hassworth	Performance Assessment
Helms, Ronald G.	Ronald M Helms	Support Operations
Johansen, Mary E.	Mary E. Johansen	RCC
ZAHARA CAROL A.	Carol Zahara	RCC

Complete only applicable items.

Make all entries below in dark ink; single line, initial, and date all errors.

2. <input checked="" type="checkbox"/> Classroom Training <input type="checkbox"/> Briefing <input type="checkbox"/> Other _____	3. TITLE/LESSON PLAN/REV. NO. AP-17.1Q, Record Source Responsibilities for Inclusionary Records - QA96006	
	4. DATE OF TRAINING 11-22-96	5. LENGTH 1.5 hours

6. BRIEF SUMMARY OF MATERIAL COVERED:

This training provides an overview of AP-17.1Q, Revision 0. It includes a discussion of terminology and process changes introduced in this procedure. It also covers lessons learned from Deficiency Report YMQAD-96-042.

7. INSTRUCTOR OR BRIEFER:  
 Cindy Sellards *Cindy Sellards*

8. PRINTED NAME OF ATTENDEE (Last, First, Middle Initial)	9. SIGNATURE OF ATTENDEE	10. M & O ORGANIZATION
HOWARD, ROBERT L	<i>Robert Howard</i>	ENGINEERING AND INTEGRATION
WAGSTER, RONALD E.	<i>Ronald E. Wagster</i>	E & I / MGDS DEVELOP
CLARK, JOHN V.	<i>John V. Clark</i>	ES / MGDS DEVELOPMENT
BENTON, HUGH A.	<i>Hugh A. Benton</i>	MGDS WASTE PKG. DEV.
BIERICH, FRANK J.	<i>F. J. Bierich</i>	MGDS DEPOSITION
PETERS, JOHN W.	<i>John W. Peters</i>	MGDS/PCG

✓ 3/2/01  
 ✓ 13/1/01  
 ✓ 2/23/04  
 ✓ 11/1/00  
 14MS  
 3/5/04

37 of 104



Complete only applicable items.

Make all entries below in dark ink; single line, initial, and date all errors.

2. <input checked="" type="checkbox"/> Classroom Training <input type="checkbox"/> Briefing <input type="checkbox"/> Other _____	3. TITLE/LESSON PLAN/REV. NO. AP-17.1Q, Record Source Responsibilities for Inclusionary Records - QA95006	
	4. DATE OF TRAINING 12/13/96	5. LENGTH 1.5 hours

8. BRIEF SUMMARY OF MATERIAL COVERED:

This training provides an overview of AP-17.1Q, Revision 0. It includes a discussion of terminology and process changes introduced in this procedure. It also covers lessons learned from Deficiency Report YMQAD-96-042.

7. INSTRUCTOR OR BRIEFER:

Cindy Sellars *Cindy Sellars*

8. PRINTED NAME OF ATTENDEE (Last, First, Middle Initial)	9. SIGNATURE OF ATTENDEE	10. M & O ORGANIZATION
GARRETT, CHARLES R	<i>Charles R. Garrett</i>	MGDS A/E Subsurface
NAAR, JERRY L.	<i>Jerry L. Naar</i>	MGDS EST DESIGN
HURSTON, LINDA M.	<i>Linda M. Hurston</i>	MGDS Development
FOSTER, ALBERTA L.	<i>Alberta Foster</i>	RMD
EBNER, CRISTAL Y.	<i>Christal Ebner</i>	RMD
CHAFFIN, NOVELLA F.	<i>Novella Chaffin</i>	RMD
SCOTT, CAROLAN R.	<i>Carolann R. Scott</i>	RPC
<del>BEZ</del> MILLER, CHRYL A.	<i>Cheryl A. Miller</i>	M&O/SAIC RPC
MCEWTEE, CHEYL E.	<i>Cheyl E. McEwtee</i>	M&O/SAIC
COLEMAN, LARA L.	<i>Lara L. Coleman</i>	TKW/RMS
HARRIS, ELLEN MARICCE	<i>Ellen Harris</i>	RMD
MCKENZIE, DAN	<i>D. McKenzie</i>	MGDS/REPOSITORY
NOLTING, RICHARD M.	<i>Richard M. Nolting</i>	MGDS/REPOSITORY

*C. Miller*  
12/13/96

Complete only applicable items.

Make all entries below in dark ink; single line, initial, and date all errors.

2. <input checked="" type="checkbox"/> Classroom Training <input type="checkbox"/> Briefing <input type="checkbox"/> Other _____	3. TITLE/LESSON PLAN/REV. NO. AP-17.1Q, Rev. 0 Record Source Responsibilities for Inclusionary Records, Rev. 0	
	4. DATE OF TRAINING 01/15/97	5. LENGTH 1 hour

6. BRIEF SUMMARY OF MATERIAL COVERED:  
 Three main areas of record source responsibilities.  
 Name three major procedural changes.  
 Describe Manager's records responsibilities.

7. INSTRUCTOR OR BRIEFER:  
 Sherrill E. Gibson  
*Sherrill E. Gibson*

8. PRINTED NAME OF ATTENDEE (Last, First, Middle Initial)	9. SIGNATURE OF ATTENDEE	10. M & O ORGANIZATION
Cassidy James R	<i>James R Cassidy</i>	QA
* COLE Billy M.	<i>Billy M Cole</i>	WA / JAI
White Patricia	<i>Patricia White</i>	QA/TRW
CARRUTH GEORGE A	<i>George A Carruth</i>	SA&I
Boyt, George R.	<i>George R Boyt</i>	TRW TI

Complete only applicable items.

Make all entries below in dark ink; single line, initial, and date all errors.

2. <input checked="" type="checkbox"/> Classroom Training <input type="checkbox"/> Briefing <input type="checkbox"/> Other _____	3. TITLE/LESSON PLAN/REV. NO. AP-17.1Q, Rev. 0 Record Source Responsibilities for Inclusionary Records, Rev. 0	
	4. DATE OF TRAINING 02/24/97	5. LENGTH 1 hour

6. BRIEF SUMMARY OF MATERIAL COVERED:  
 Three main areas of record source responsibilities.  
 Name three major procedural changes.  
 Describe Manager's records responsibilities.

7. INSTRUCTOR OR BRIEFER:  
 Sherrill E. Gibson

*Sherrill E. Gibson*

8. PRINTED NAME OF ATTENDEE (Last, First, Middle Initial)	9. SIGNATURE OF ATTENDEE	10. M & O ORGANIZATION
HEATH, Colin, A	<i>Colin A Heath</i>	WM&I
* WISENBURG MARK R	<i>Mark R Wisenburg</i>	WM&I
Leonardo, M Kathryn	<i>M. Kathryn Leonardo</i>	BM
Johnson, Roger O.	<i>Roger O Johnson</i>	SA&I
Shupe, W. Jeffrey	<i>W. Jeffrey Shupe</i>	Contracts + Subcontracts
White, Patricia	<i>Patricia A White</i>	QA/ TRAINING
Nobles, Selena	<i>Selena Nobles</i>	Purchasing

Complete only applicable items.

Make all entries below in dark ink; single line, initial, and date all errors.

- 2.  Classroom Training
- Briefing
- Other \_\_\_\_\_

3. TITLE/LESSON PLAN/REV. NO.  
AP-17.1Q, Rev. 0 Record Source Responsibilities for  
Inclusionary Records, Rev. 0

4. DATE OF TRAINING

5. LENGTH

02/26/97

1 hour

6. BRIEF SUMMARY OF MATERIAL COVERED:  
Three main areas of record source responsibilities.  
Name three major procedural changes.  
Describe Manager's records responsibilities.

7. INSTRUCTOR OR BRIEFER:  
Sherrill E. Gibson

*Sherrill E. Gibson*

8. PRINTED NAME OF ATTENDEE  
(Last, First, Middle Initial)

9. SIGNATURE OF ATTENDEE

10. M & O ORGANIZATION

PENHAKER, JOHN J.

*John Penhaker*

Program Mgmt Dept

BROWN Pamela J.

*Pamela J. Brown*

Contracts & Subcontracts

CONNORS, DORIA

*Doria Connors*

Contracts & Subcontracts

TAGG Robert D.

*Robert D. Tagg*

Contracts

\* McFennell Edward J.

*Edward J. McFennell*

Contracts

**FEBRUARY 24, 1997, ALPHABETIZED LISTING  
OF TRAINED PERSONNEL**

February 24, 1997

Abend, Gail

Adame, Sherry

Adams, Robert

Adkins, Howard

Agnew, James

Alamo, Delra

Aleman-Kozai, Mirna

Aller, Jan

Ambos, Dale

Andrews, Robert

Angerer, Jay

Aquirre, Maria Elena

Ashe, Kenneth

Avery, John

Badredine, Terri

Bailey, Jack

Bakari, Diretha

Barnett, Irmhild

Bartley, Charles

Basilio, Gregorio

Beall, George K.

Beason, Freddie

Bennett, Richard

Bennett, Jennifer

Benton, Hugh

Beyer, James

Bhattacharyya, Kalyan  
Bierich, Frank  
Bigley, Joe  
Bjerstedt, Ines  
Blackwell, Marina  
Blomgren, Joyce  
Bodashewicz, Jackie  
Bodnar, Steve  
Borgeson, Mary  
Bostian, Robert  
Bowlinger, Scott  
Brindle, Judy  
Brizeno, Cheryl  
Bryan, Barbara  
Bryan, Thomas  
Buckley, Charles  
Burke, Peter  
Candelora, Diane  
Cauliflower, Teresa  
Chaffin, Novella  
Chagnon, Carl  
Chandler, Ron  
Chandler, Douglas  
Clark, John  
Cline, Michael  
Clouet, John  
Cogar, Jerry  
Colehour, Lana  
Croft, Larry

Crumpacker, Gary  
Datta, Robin  
De Jesus, Esteban  
Dock, Lufonda  
Dockter, Randy  
Dodd, Albert  
Doering, Thomas  
Donaldson, George  
Dulock, Victor  
Dunlap, Byraan  
Dupere, Margaret  
d'Ouille, Melinda  
Ebner Christal  
Fariss, Milton  
Fasano, Gregory  
Ferguson, Tom  
Fisher, John  
Fissekidon, Vivi  
Fitch, Edward  
Fogdall, Bonnie  
Fortsch, Mark  
Foster, Alberta  
Foust, LeRoy D.  
Frank, James  
Franks, Mary  
Gallegos, Frank  
Gandelora, Diane  
Gardiner, Jim  
Gardiner, Errol

Garrett, Charles  
Garrow, Michael  
Gibson, Patricia  
Gilstrap, O. J.  
Glasser, William  
Golos, Joyce  
Gomez, Matthew  
Gonzalez, Jaime  
Gottlieb, Peter  
Green, Ronald  
Gutierrez, Lesly  
Gutierrez, Gabriel  
Gwyn, Dealis  
Haas, Martin  
Hackbert, David  
Hairston, Linda  
Hannigan, Magdalena  
Harris, Michael  
Harris-Womack, Sharon  
Hastings, Carl  
Hastings, Peter  
Hayes, Larry  
Heisler, Beverly  
Henderson, Linda  
Herbert, Judy  
Herrera, Patricia  
Holm, Carla  
Hopkins, Derita  
Howard, Robert

Hoxby, Dwight  
Hurst, Brent  
Jackson, Jack  
Jones, Jennifer  
Justice, Judy  
Justice, Benjamin R., Jr.  
Kalia, Hemendra  
Keen, Pierro  
Kennedy, William  
Kessel, David  
Kimble, Robert  
Kimura, Gene  
Kinney, Janis  
Kirby, Deborah  
Larkin, Lynn  
Leake, Harry  
Lehotsky, Donna  
Lewis, Robert  
Linden, Linda  
Long, Judy  
Lotz, Thomas  
Low, James  
Lowther, Gayle  
Lugo, Miguel  
Lugo, Candace  
Lyon, Glen  
Mantor, Linda  
Mapa, Michael  
Martinez, Sandy

Matthews, Craig  
McCann, Edward  
McConnell, Kelly  
McCormick, Deborah  
McCoy, John  
McCreary, Julie  
McEntee, Cheryl  
McKenzie, Dan  
McNeill, Genevieve  
Memory, Richard  
Meyers, Steven  
Miller, Danika  
Miller, Cheryl  
Mina, Ines  
Minnick, Lynda  
Minwalla, Homi  
Monson, Eric  
Montalvo, Hector  
Moore, Sandra  
Moore, Karl  
Morrison, Lawrence  
Morton, Russell  
Mueller, Terry  
Naaf, Jerry  
Nelson, Stephen  
Nesbitt, Charles  
Niggemeyer, James  
Nitti, Donald  
Nolting, Richard

Norman, Lynne  
Oliver, Ron  
Page, Sheree  
Parker, Charles  
Parker, Fran  
Passas, Carol  
Patti, Nicholas  
Pendleton, Martha  
Penovich, Michael  
Peters, John  
Pinney, Michael  
Prater, Michelle  
Pratt, Pamela  
Prowell, Grover  
Pye, John  
Pysto, Thomas  
Quittmeyer, Richard  
Rakestraw, Danny  
Rautenstrauch, Kurt  
Ray, Rebecca  
Reed, William  
Reeve, Karen  
Reilly, Beatrice  
Rindskopf, Sam  
Roberts, Teresa  
Robertson, James  
Robison, Donald  
Roccapiore, Ginger  
Rodgers, Peggy

Roesner, Kent  
Rogers, Ralph  
Sailsburg, Phyllis  
Salehak, John  
Sandifer, Robert  
Saunders, Robert  
Savarise, Bonna  
Schelling, Joseph  
Schilling, Penny  
Schneider, Ralph  
Schrock, Bill  
Schutt, Donovan  
Scott, Carolyn  
Seamans, David  
Segrest, Alden  
Sellers, Mark  
Shannon, Cheryl  
Shenk, Kevin  
Sinclair, William  
Skorseth, Robert  
Slayden, Richard  
Smallwood, Patricia  
Smith, Vickie  
Smith, Ron  
Smith, Steven  
Smith, Anthony  
Smith, William C.  
Snell, Richard  
Sowell, Chris

Stafford, Charles  
Stahl, David  
Stemley, Ernest  
Stone, Mildred  
Stover, Michael  
Svoboda, Janice  
Tancayo, Barbara  
Taylor, Malcolm  
Thom, Barry  
Thompson, Loren  
Thompson, Alice  
Tung, Chao-Hsiung  
Turner, Paul  
Valentine, Michael  
Vallely, Robert  
VanBibber, David  
Vawter, Roy G.  
Verden, Jan  
Voegele, Michael  
Vondriska, Charlene  
Wade, Claude  
Wadkins, Mindy  
Wagg, Derrick  
Wagster, Ronald  
Way, Carol  
Weaver, Earl  
Wemheuer, Robert  
White, Harry  
Woodard, Joyce

**Woodruff, Jade**

**Wright, Eddie**

**Yunker, Jean**

**Yoxen, Jackie**

**Zachar, Daria**

**Zander, Katherine**

**Zimmerman, Judith**

**Interoffice Correspondence**  
Civilian Radioactive Waste Management System  
Management & Operating Contractor



TRW Environmental  
Safety Systems Inc.

Subject	Date	From
Compliance w/Records Procedures	21 October 1996 VA.GM.RLS.10/96.240	R.L. Strickler 
To	cc	Location/Phone
All M&O Employees	RPC	TES1/8580 703.204.8610

Compliance with procedures for the preparation and turnover of records has recently been less than satisfactory as evidenced in deficiency reports generated by both us and our customer.

Records are a vital part of this program as they provide the documented evidence of our activities. Without proper documentation we will have difficulty in demonstrating our compliance with the requirements and regulations to which we are bound. You, as record sources, must provide accurate, legible, and complete documentation of your work. You need to turn those records over to the Records Processing Center in a timely manner as described in our procedures.

Management must take the responsibility to ensure that their staff is properly trained and implementing the record requirements of the QARD as delineated in our procedures. Individual M&O staff members share in the responsibility of record requirement implementation.

A new record processing procedure, AP-17.1Q, will be issued soon and will be used by everyone on the program. Classroom training will available on this procedure. This training is mandatory for all M&O supervisors who perform quality affecting activities. Supervisors will identify additional individuals in their organization who should attend classroom training. Training must be completed as soon as possible.

If you have questions concerning this direction, please contact Ron Ruth at 702.295.5074.

**Interoffice Correspondence**  
**Civilian Radioactive Waste Management System**  
**Management & Operating Contractor**



TRW Environmental  
Safety Systems Inc.

**WBS:** 1.2.9

**QA:** N/A

**Subject:**  
Product Integrity Report  
PI-96-059 (SCPB: N/A)

**Date:**  
October 9, 1996  
LV.OPI.RLH.10/96-064

**From:** *Rm Stambaugh*  
J. N. Bailey *for*

**To:**  
R. D. Snell

**cc:**  
See below

**Location/Phone:**  
SUM1/423  
(702) 794-7266

Attached is a copy of PI-96-059 for your information. The report documents PI staff's Investigative Actions for Deficiency Report YMQAD-96-D042.

The Product Integrity report contains one recommendation that will be implemented to resolve Deficiency Report YMQAD-96-D042. If you have any questions about the report, please contact Rob Howard at 794-7820.

JNB/RLH/cam

Attachment:  
Product Integrity Report PI-96-049

cc: J. J. Clark  
R. L. Howard  
B. R. Justice  
R. R. Ruth  
J. T. Schmidt (QATSS)  
C. L. Sellards  
R. M. Stambaugh  
A. M. Segrest  
R. C. Wagner  
RPC

PRODUCT INTEGRITY  
PRODUCT/PROCESS  
REVIEW REPORT

INVESTIGATIVE ACTIONS FOR DEFICIENCY REPORT YMQAD-96-D042

REPORT NO. PI-96-059

Prepared by: *Robert L. Howard* 10/27/96  
Robert L. Howard

Approved by: *Jack N. Bailey* 10/9/96  
Jack N. Bailey

Extent of Deficiency for YMQAD-D-042  
REPORT NO. OPI-96-059

**Executive Summary**

This review evaluated the extent of deficiency for Deficiency Report YMQAD-96-D042. The Manager, MGDS Development requested Product Integrity staff to perform the review as part of deficiency report closure process. According to Deficiency Report YMQAD-96-D042, the CRWMS M&O was not complying with the requirements of QARD Section 17.0 Paragraph 17.2.2.D and QAP-17-1 Rev 4. This investigative action revealed that the deficiency existed both at the M&O offices in Vienna, Virginia and Las Vegas, Nevada. Further, based on a review of previous deficiency documents, the investigators concluded that the deficiency is a recurring condition and that past actions to preclude recurrence have only been marginally effective.

Product Integrity staff, with the assistance of personnel from each line organization, reviewed a significant number of documents representing the types of records each organization should be turning over to the Records Processing Center (RPC). Product Integrity found cases in every line organization that produces quality affecting work where documentation was either not turned over to the RPC in a timely manner, or had not been turned over at all. Those cases found where documentation had not been turned over to the RPC were corrected during the investigation.

As the investigative actions drew to a close, a Root Cause Determination was performed in accordance with AP-16.4Q in order to ascertain what actions are necessary to preclude recurrence. The Root Cause Determination identified the following five areas had weaknesses contributing to the deficiency: (1) Implementing Documents, (2) Personnel, (3) Management System, (4) Immediate Supervision, and (5) Training. Product Integrity staff evaluated the contributing causes identified under each of the five areas above and concluded that three related root causes should be addressed as to prevent the deficiency from recurring: (1) Procedures being used improperly, (2) Inadequate Supervision, and (3) Incomplete Training.

Based on the three root causes identified above, Product Integrity staff recommended that action to prevent recurrence include mandatory classroom training for all first line supervisors and above. The training should include information related to the different functions of Document Control and Records Processing, delegation of responsibility for administrative details of handling records turnover and subsequent follow up, and including records turnover as part of job planning and scheduling. Testing should be required to measure effectiveness of training regarding records source responsibilities. Product Integrity staff discussed the proposed actions with the M&O Operations Managers or their Deputies; every organization agreed to support the suggested recurrence control measures.

### Scope of the Review

This investigation covered the submittal of documents to the Records Processing Center in accordance with M&O QAP-17-1 Revision 4. The review covered quality assurance records generated since August 1995. The review did not cover Quality Assurance Program Training documentation during that time frame since no training records were identified in Deficiency Report YMQAD-96-D042.

### Review Results

Note: \*\* identifies documents turned in to the RPC late.

### Engineering and Integration

As part of the investigation, MGDS Engineering Document Control staff performed a 100% review of all calculations, drawings, and specifications (both Q and non-Q documents) developed between August 1995 and April 1996. A 100% review was conducted by EDC at the request of the MGDS Development Manager. The results of their review indicated that all documentation associated with the preparation, review, and approval of calculations, and the preparation and review of drawings and specifications had been submitted to the RPC. The document identifiers and record accession or batch numbers associated with the Q documents are listed below:

Specification DI	Accession / Batch Number
BAB000000-01717-6300-01501-04 11/17/95	MOY-960112-13
BABEE0000-01717-6300-02165-00 04/01/96	MOY-960423-08

Analysis DI	Accession / Batch Number
B00000000-01717-0200-00124-00 11/09/95	MOY951128-01
B00000000-01717-0200-00125-00 11/08/95	MOY951114-12
BAB000000-01717-0200-00148-00 08/18/95	MOY950829-16
BABEAD000-01717-0200-00003-04 04/11/96	MOY960425-03
BABEE0000-01717-0200-00001-03 12/18/95	MOY960219-20
BABEE0000-01717-0200-00003-01 01/30/96	MOY960219-20
BABEE0000-01717-0200-00004-00 01/23/96	MOY960219-20
BABEE0000-01717-0200-00006-00 09/20/95	MOY950926-27
BABEE0000-01717-0200-00011-01 03/28/96	MOY960405-04
BABEE0000-01717-0200-00002-00 09/06/95	MOY951006-17
BB0000000-01717-0200-00005-01 09/29/95	MOY951009-04

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BB0000000-01717-0200-00010-00	03/19/96	MOY960514-05
BBA000000-01717-0200-00012-00	02/21/96	MOY960227-03
BBA000000-01717-0200-00005-00	03/27/96	MOY960425-01
BBAA00000-01717-0200-00004-00	03/01/96	MOY960306-10
BBAC00000-01717-0200-00001-00	03/29/96	MOY960416-04

Drawings		Accession / Batch Number
BABEAD000-01717-2100-40110-02	09/08/95	MOY951020-05
BABEAD000-01717-2100-40111-02	09/08/95	MOY951020-06
BABEAD000-01717-2100-40112-02	09/08/95	MOY951020-07
BABEAD000-01717-2100-40113-02	09/08/95	MOY951020-08
BABEAD000-01717-2100-40114-02	09/08/95	MOY951020-09
BABEAD000-01717-2100-40115-02	09/08/95	MOY951020-10
BABEAD000-01717-2100-40116-02	09/08/95	MOY951020-11
BABEAD000-01717-2100-40120-02	09/08/95	MOY951020-12
BABEAD000-01717-2100-40121-02	09/08/95	MOY951020-13
BABEAD000-01717-2100-40122-02	09/08/95	MOY951020-14
BABEAD000-01717-2100-40123-02	09/08/95	MOY951020-22
BABEAD000-01717-2100-40124-02	09/08/95	MOY951020-15
BABEAD000-01717-2100-40125-02	09/08/95	MOY951020-21
BABEAD000-01717-2100-40126-02	09/08/95	MOY951020-20
BABEAD000-01717-2100-40127-02	09/08/95	MOY951020-19
BABEAD000-01717-2100-40128-02	09/08/95	MOY951020-18
BABEAD000-01717-2100-40129-02	09/08/95	MOY951020-17
BABEAD000-01717-2100-40203-00	09/08/95	MOY951006-15
BABEAD000-01717-2100-40204-00	09/08/95	MOY951006-16
BABEAD000-01717-2100-40205-00	09/08/95	MOY951009-14

BABEAD000-01717-2100-40206-00	09/08/95	MOY951009-12
BABEAD000-01717-2100-40207-00	09/08/95	MOY951009-13
BABEAD000-01717-2100-40208-00	09/08/95	MOY951009-15
BABEAD000-01717-2100-40209-00	09/08/95	MOY951009-11
BABEAD000-01717-2100-40215-00	09/08/95	MOY951002-05
BABEAD000-01717-2100-40216-00	09/08/95	MOY951002-06
BABEAD000-01717-2100-40217-00	09/08/95	MOY951002-07
BABEAD000-01717-2100-40218-00	09/08/95	MOY951004-11-03
BABEAD000-01717-2100-40219-00	09/08/95	MOY951004-11-04
BABEAD000-01717-2100-40220-00	09/08/95	MOY951004-11-02
BABEAD000-01717-2100-40221-00	09/08/95	MOY951004-11-01
BABEAD000-01717-2100-40222-00	09/08/95	MOY950929-08
BABEAD000-01717-2100-40223-00	09/08/95	MOY951002-08
BABEAD000-01717-2100-40224-00	09/08/95	MOY951004-11-05
BABEE0000-01717-2100-40151-00	04/01/96	MOY960415-09
BABEE0000-01717-2100-40152-00	04/01/96	MOY960415-10
BABEE0000-01717-2100-40153-00	04/01/96	MOY960415-08
BABEE0000-01717-2100-40154-00	04/01/96	MOY960415-07
BABEE0000-01717-2100-40155-00	04/01/96	MOY960415-06
BABEE0000-01717-2100-40156-00	04/01/96	MOY960415-07-02
BABEE0000-01717-2100-40157-00	04/01/96	MOY960415-07-01
BABEE0000-01717-2100-40160-01	02/01/96	MOY960328-01
BABEE0000-01717-2100-40161-00	12/22/95	MOY951130-25
BABEE0000-01717-2100-40164-00	01/05/96	MOY960219-15

Deficiency Document YMQAD-96-D042 identified four sequential Engineering Change Requests that had not been submitted to the RPC in a timely manner. Product Integrity staff reviewed the quality affecting Engineering Change Requests generated since August 1995 to confirm that all documents had been submitted to the RPC. The results are presented in the table below:

Engineering Change Request Title	ECR#	Batch #
Remove hold HM-95-16.0000-06 from drill and blast specification	E95-0004	MOY-960122-32
Change allowable sulfur content of diesel fuel	E95-0006	MOY-960122-32
Shotcrete specification water clarification	E95-0008	MOY-960122-32
Alcove ground support plan and sections	E95-0020	MOY-960122-32
Removal of 5 3/4" and 3/4" referenced dimensions between lagging and steel set web	E95-0023	MOY-960122-32
Extension of topsoil storage area	E95-0032	MOY-960122-33
Change subsurface general construction specification	E95-0034	MOY-960122-33
Add note for rockbolt designation	E95-0038	MOY-960122-33
Remove tolerance for vertical misalignment	E95-0039	MOY-960122-33
Removal of lagging spacing when using 3 X # WWF	E95-0040	MOY-960122-33
Addition of DIE control to the water use for construction specification	E95-0050	MOY-960122-34
C-well complex DIE requirements	E95-0051	MOY-960122-34
Clarify shotcrete specification	E95-0052	MOY-960122-34
Change tolerances - steel set specifications	E95-0056	MOY-960122-34
Addition of QA requirements to Section 02730, Rev. 2	E95-0058	MOY-960122-34
Constructor quality control/quality assurance	E95-0063	MOY-960122-34
TS main drift excavation	E95-0065	MOL.19960422.003 9
TS north ramp excavation layout - drawing revisions	E95-0066	MOL.19960422.006 1
Ground support stabilization for 7.62 m diameter tunnel	E95-0070	MOY-960125-11
Reclassification of ground support items	E95-0074	MOY-960125-11
Optional muck storage area	E96-0004	MOY-951215-05

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Effective date of implementation of QA requirements from changes E95-(070-074)	E96-0006	MOY-960123-07
Place hold on design drawings (HM95-16.0000-11)	E96-0008	MOY-960123-07
Clarification and correction of oversight of ground support items	E96-0014	MOY-960123-07
Clarification and change of specification for ESF TS loop	E96-0019	MOY-960122-24
Specification scope expansion beyond sta. 28+20m	E96-0022	MOY-960122-24
Specification scope expansion beyond sta. 28+20m	E96-0023	MOY-960122-24
Change drawings to include ESF TS loop	E96-0024	MOY-960122-24
Incorporate W6X20 steel and general adjustments in QA controls	E96-0025	MOY-960122-24
Addition of field quality control definitions**	E96-0035	MOY-960208-02
Elimination of QA controls on material procurement for commercial grade items **	E96-0036	MOY-960208-02
Required Monitoring**	E96-0037	MOY-960208-02
QA Grading Incorporation**	E96-0038	MOY-960208-02
Thermal test area excavation and ground support	E96-0039	MOY-960209-09
Subsurface general construction	E96-0040	MOY-960205-08
Change specification Section 01501	E96-0041	MOY-960212-04
Change document identifier on drawing	E96-0044	MOY-960209-09
ESF package 1A drawing revisions	E96-0048	MOY-960209-09
Modify bolted connection inspection and frequencies in accordance with graded QA	E96-0052	MOY-960228-07
Alternative sample plans per EPRI guidelines	E96-0053	MOY-960212-04
Removal of holds on four package 1A drawings	E96-0056	MOY-960228-07

Change specification Section 01014	E96-0059	MOY-960228-07
Change specification Section 01501	E96-0060	MOY-960312-03
Bow Ridge fault test alcove rockbolts and shotcrete sections	E96-0061	MOY-960305-14
Change specifications for foot segment base plate offsets	E96-0062	MOY-960312-03

Deficiency Report YMQAD-96-D042 did not identify any records turnover deficiencies in the area of software configuration management. However, Product Integrity Staff evaluated this area to confirm that no additional deficiencies exists. The results are provided in the table below:

Title	Batch#
Software Change Request Number LSCR080 and Software Change Control Board (SCCB Meeting Minutes #01-96)	MOY-960223-20
Software Change Records for ANSYS V5-0A and ANSYS B5.1HP	MOY-960205-19
Software Change Control Board #03-96 Meeting Minutes/ SCR# LSPR104	MOY-960513-31
Software Change Control Board #03-96 Meeting Minutes/ SCR #'s LSCR081-LSPR103	MOL.19960903.0391 - .0393
Software Change Control Board #04-96 Meeting Minutes/ SCR# LSPR105	MOY-960606-06
Tech. Defect Notices for ANSYS S V5.0A LSPR010 thru LSPR	MOY-950804-13

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#### Determination of Importance Evaluations:

Product Integrity noted that one Determination of Importance Evaluation, "Determination of Importance Evaluation for Subsurface Exploratory Studies Facility," DI # BAB000000-01717-2200-00005 Rev 05 was identified in Performance Report LVMO-96-P016 as not being submitted to the RPC in a timely manner. Product Integrity staff considers Performance Report LVMO-96-P016 as part of the extent of deficiency for Deficiency Report YMQAD-96-D042 and has

considered information related to LVMO-96-P016 in the Root Cause Determination prepared for YMQAD-96-D042. Twenty five additional Determination of Importance Evaluations (approximately 80% of those produced during the period under investigation) were sampled. PI staff did not find any deficient records packages in this area. Results of the review are presented in the table below:

Title	Document Number	Accession No. Or Batch No.
Determination of Importance Evaluation for North Portal Pad TFM Exemptions	BABB00000-01717-2200-00008 Rev 00	MOL.19960424.0069
Determination of Importance Evaluation for Addition of Water in Drilling USW SD-7	BAAAE0000-01717-2200-00003 Rev 00	MOL.19960424.0095
Determination of Importance Evaluation for C-Hole Complex Testing	BAAAD0000-01717-2200-00008 Rev 01	MOL.19960304.0390
Determination of Importance Evaluation (DIE) for Construction of the Southern Tracer Complex	BAAAC0000-01717-2200-00007 Rev 00	MOL.19960611.0307
Determination of Importance for the Conveyor System	BABFC0000-01717-2200-00001 Rev 01	MOY-950814-25
Determination of Importance for Hydrochemistry and Radial Borehole Tests in the ESF	BAB000000-01717-2200-00146 Rev 00	MOY-950829-23
Determination of Importance for Drilling and Testing of Borehole	BAAAC0000-01717-2200-00004 Rev 01	MOY-950911-14
Determination of Importance for ESF Surface Compressed Air System	BABBD0000-01717-2200-00022 Rev 01	MOY-950911-03
Determination of Importance Evaluation for the Optional Muck Storage Area and North Portal Pad North Parking Lot	BABB00000-01717-2200-00007 Rev 00	MOY-950915-11
Determination of Importance Evaluation for the Topsoil Storage Area	BABCE0000-01717-2200-00001 Rev 00	MOY-950918-29
Determination of Importance Evaluation for Contingency Use of Grout	BAB000000-01717-2200-00147 Rev 00	MOY-951016-02

Determination of Importance Evaluation for Excavation of Scour Chains in Forty-Mile Wash	BAA000000-01717-2200-00100 Rev 00	MOY-951017-17
Determination of Importance Evaluation for Perched Water Testing	BAB000000-01717-2200-00109 Rev 01	MOY-951106-05
Determination of Importance for Consolidated Sampling	BAB000000-01717-2200-00110 Rev 01	MOY-951106-05
Determination of Importance Evaluation for Geologic Mapping	BAB000000-01717-2200-00112 Rev 01	MOL.19960501.031 1-.0315
Determination of Importance Evaluation for Disposal of Super-Chlorinated Water	BABBDC000-01717-2200-00029 Rev 00	MOY-951107-01
Determination of Importance Evaluation for Hydrochemistry and Radial Borehole Tests in the ESF	BAB000000-01717-2200-0146 Rev 01	MOY-951213-04
Determination of Importance Evaluation for the Design and Construction of the TS Main Drift Thermal Test Area	BABEAF000-01717-2200-00002 Rev 00	MOY-951221-02
Determination of Importance Evaluation (DIE) for the Topsoil Storage Area	BABCE0000-01717-2200-00001 Rev 01	MOL.19960715.028 6-.0291
Determination of Importance Evaluation for Placement of Temporary Pneumatic Instrumentation in Surface Borehole USW SD-7	BAAAE0000-01717-2200-00004 Rev 00	MOY-960221-06
Determination of Importance Evaluation (DIE) for Phase I Testing in the TS Main Drift Thermal Test Region	BABEAF000-01717-2200-00003 Rev 00	MOY-960226-09
Determination of Importance Evaluation for the Surface Exploratory Studies Facility	BAB000000-01717-2200-00106 Rev 00	MOY-960321-01
Determination of Importance Evaluation (DIE) for the Design and Construction of the TS Loop South Ramp and South Portal	BAB000000-01717-2200-00150 Rev 00	MOY-960327-08
Determination of Importance Evaluation for the Surface Exploratory Studies Facility	BAB000000-01717-2200-00106 Rev 01	MOY-960618-10

Determination of Importance Evaluation (DIE) for C-Hole Complex Testing	BAAAD0000-01717-2200-00008 Rev 03	MOY-960620-10
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#### QAP-3-5 Technical Documents:

Product Integrity staff did not evaluate any QAP-3-5 Technical Reports as part of the this investigation because records submittal for that type of documents is adequately covered by M&O Surveillance 96-NSS-36 and 96-NSS-48. The M&O Surveillance Organization identified a deficiency regarding records submittal in both surveillances. Specifically, surveillance 96-NSS-36 evaluated the preparation of technical documents by the Systems Engineering organization. A sample of two completed technical documents and one in-process technical document was reviewed. One of the three examples checked had not been sent to the RPC. The detailed results are as follows:

1. MGDS Functional Analysis Document - The TDPP (B00000000-01717-4600-00059, R. 01) and the associated technical document ( B00000000-01717-1708-00006, R. 00) were in the RPC.
2. Performance Confirmation Concepts Study Report - The TDPP (B00000000-01717-4600-00056, R. 00) was in the RPC. NOTE: The technical document itself was still in the development process at the time of the surveillance.
3. Controlled Design Assumptions Document - Neither the TDPP (B00000000-01717-4600-00031, R. 05) nor the associated technical document (B00000000-01717-4600-00032, R. 02) had been sent to the RPC. (This specific deficiency was corrected during the surveillance.) (Sat)

Surveillance 96-NSS-48 revealed that the Mined Geologic System Advanced Conceptual Design Report (B00000000-01717-5705-00027) had not been submitted to the RPC in a timely manner. This deficiency was corrected during the Surveillance. Product Integrity Staff considered the details of Surveillances 96-NSS-36 and 96-NSS-48 in the Root Cause Determination for YMQAD-96-042.

#### Baseline Change Proposals:

Product Integrity did not evaluate any Baseline Change Proposals prepared by the Engineering and Integration organization because these documents are covered by Deficiency Report LVMO-95-D006. Product Integrity Staff considers LVMO-95-D006 as an example of the deficiency documented in YMQAD-96-D042. LVMO-95-D006 was considered during the Root Cause Determination for YMQAD-96-D042.

#### QAP-3-12 Design Input Transmittals:

Product Integrity Staff did not evaluate any QAP-3-12 Design Input Transmittal documents because records turnover for these documents have been adequately evaluated by M&O Quality Assurance

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Surveillance 96-NSS-61. Surveillance 96-NSS-61 identified two deficiencies, LVMO-96-D055 and LVMO-96-D056, related to records turnover of design input documentation. A similar deficiency was documented in the draft deficiency document discussed in IOC LV.QA.MM.08/96-342 from B.R.Justice to M. Prater dated August 22, 1996. Although the specifics documented LVMO-96-D055 and LVMO-96-D056 are not repeated in this report, Product Integrity staff considers those deficiencies as part of the extent of YMQAD-96-D042. LVMO-96-D055 and LVMO-96-D056 were considered in the Root Cause Determination for YMQAD-96-D042.

**Title III Documentation Instructions:**

Deficiency Report YMQAD-96-D042 identified two Title III Documentation Instructions that had not been submitted to the RPC in a timely manner. Product Integrity staff has determined that a total of four Title III Documentation Instructions have been produced. The results of the review of the records submittals for these documents are presented in the table below:

Title III Documentation Instruction	Accession or Batch Number
Documentation of A/E Approvals Allowed By Approved Drawings and Specifications BAB000000-01717-5000-00002 Rev 00 **	MOY-960925-13
Documentation of Controlled Drilling and Blasting Operations BABEA0000-01717-5000-00001 Rev 00**	MOL.199960917.0147
Documentation of Rockbolt Testing BABEA0000-01717-5600-00001 Rev 00**	MOL.19960724.0262
Documentation of Ground Support Determination BABEA0000-01717-5600-00001 Rev 00**	MOL.19960724.0262

Deficiency Report YMQAD-96-D042 identified one Impact Review Action Notice (IRAN) that had not been submitted to the RPC in a timely manner. Product Integrity staff evaluated Impact Review Action Notices generated by Engineering and Integration in order to confirm that IRAN's were being submitted to the RPC. Results of the review are in the table below:

DOCUMENT TITLE	TRACKING NUMBER
Impact Review Action Notice for: BB0000000-01717-0200-00010 Rev 01 Analysis of MPC Access Requirements for Addition of Filler Materials	MOY-960924-07
Impact Review Action Notice - ESF/GROA Interface Design Analysis B00000000-01717-0200-00124 Rev 01	MOY-960918-08
Impact Review Action Notice (040) for Report on Preliminary Selection of Waste Package Materials BBA0000000-0117-5705-00007 Rev 01	MOY-960521-06A

Impact Review Action Notice (041) for ESF/GROA Interface Drawings Update-FY1995 B00000000-01717--200-00124 Rev 00	MOY-960521-06B
Impact Review Action Notice (042) for ESF/Repository Interface Layout Coordinate Geometry Analysis B00000000-01717-0200-000125 Rev 00	MOY-960521-06C
Impact Review Action Notice for ESF Layout Calculation, Rev 04 BABEAD000-01717-0200-00003, Rev 04	MOY-960521-06D
BAB000000-01717-2200-00106 Rev 00 for Surface Exploratory Studies Facility	MOY-960426-02-01
BABEAD000-01717-2200-00002 Rev 02 QA Classification Analysis of Main Drift Access Openings	MOY-960426-02-04
Impact Review Action Notice for BAB000000-01717-2200-00106, Rev 00-DIE for Surface Exploratory Studies Facility	MOY-960422-24
BABFAD000-01717-2200-00001 Rev 00 Determination of Importance Evaluation for Ventilation System Testing Using Sulfur Hexafluoride	MOY-960422-06-01
Impact Review Action Notices for: BABCE000-01717-2200-00001, Rev 01-DIE for the Topsoil Storage Area; (#026) BABBD0000-01717-2200-00022, Rev 01-DIE for ESF Surface Compressed Air and Standby Power Systems (#027) BAB0000000-01717-0200-00005, Rev 01-Analysis of Degradation Due to Water and Gases in MPC (#032)	MOY-960329-03
Impact Review Action Notice (#22, #23, & #24) for Rock Mass Quality Data for the North Ramp Stations 18+50 Meters to 20+00 Meters	MOY-960327-07-02
BABEE0000-01717-0200-00004 Rev 00 ESF Ground Support - Material Dedication Analysis for Structural Steel and Accessories From a Commercial Grade Source - Impact Review Action Notice	MOY-960219-20C

BABEAD000-01717-0200-0003 Rev 03 ESF Layout Calculation - Impact Review Action Notice	MOY-960219-20A
BABEE0000-01717-0200-00001 Rev 03 ESF Alcove Ground Support Analysis - Impact Review Action Notice	MOY-960219-20B
BABEE0000-01717-0200-00003 Rev 00 &01 ESF Ground Support - Structural Steel Analysis - Impact Review Action Notice	MOY-960219-20D
Impact Review Action Notice (#7) For: Letter: Sandia National Laboratories	MOY-960215-03-03
Impact Review Action Notice (#8) For: Letter: LA-EES-130LV-07-95-031	MOY-960215-03-01
Impact Review Action Notices for Rock Mass Quality Data for North Ramp Stations	MOY-951120-06
Impact Review Action Notice for Subsurface General Construction Analysis - BAB000000- 01717-0200-00148 rev 00	MOY-950927-22
Impact Review Action Notice for ESF Ground Support Design Analysis BABEE0000-01717- 0200-00002, Rev 00	MOY-950927-23
Impact Review Action Notice for Test, Inspection and Material Dedication Analysis: Shotcrete, Rockbolts and Accessories - BABEE0000-01717-0200-00006, Rev 00	MOY-950927-21
Impact Review Action Notice for Rock Mass Quality Data for the NRT Stations 60 to 475m	MOY-950721-20
Impact Review Action Notice for Rock Mass Quality Data for the NRT Stations 475 to 530m	MOY-950721-19
Impact Review Action Notice for Rock Mass Quality for the NRT Stations 530 to 600m	MOY-950721-17
Impact Review Action Notice for Rock Mass Quality for the NRT Stations 600 to 655m	MOY-950721-26
Impact Review Action Notice for Rock Mass Quality Data for the NRT Stations 655 to 705m	MOY-950721-23
Impact Review Action Notice for Rock Mass Quality Data for the NRT Stations 702 to 767m	MOY-950721-22

Impact Review for ESF Design Package 2A	MOY-950617-01
ESF Design Package 1B - Impact Reviews	MOY-95-0063

Although Deficiency Report YMQAD-96-D042 did not specifically identify any QAP-2-0 Activity Evaluations in the initial examples of the adverse condition, the Product Integrity Investigation has revealed that QAP-2-0 activity evaluations have not been consistently submitted to the RPC throughout the M&O. This condition was found in essentially every M&O line organization. It should also be noted that Performance Report LVMO-96-P014 identified QAP-2-0 activity evaluations that had not been turned over to the RPC in a timely manner. Although the details of LVMO-96-P014 are not repeated in this Product Integrity Report, Product Integrity Staff considers the Performance Report as a further example of the extent the deficiency described by YMQAD-96-D042. LVMO-96-P014 has been considered in the Root Cause Determination Product Integrity developed in accordance with AP-16.4Q. Results of Product Integrity staff's investigation of Engineering and Integration QAP-2-0 evaluations are presented below:

Title of QAP-2-0 Evaluation	Batch or Accession Number
Engineering Development BB0000000-01717-2200-00001 Rev 01**	MOL.1996036.0335
MPC Design Compatibility with the MGDS BB0000000-01717-2200-00003 Rev 01**	MOL.1996036.0336
Analyze Material and Performance Information and Data in Support of Waste Package/Engineered etc. BB0000000-01717-2200-00004 Rev 02**	MOL.1996036.0337
Waste Package/Engineered Barrier Segment Materials Selection BB0000000-01717-2200-00005 Rev 01**	MOL.1996036.0338
Prepare Status Reports and Other Documents and Reports Used for Information Only BB0000000-01717-2200-00006 Rev 01**	MOL.1996036.0339
Develop Technical Document BB0000000-01717-2200-00007 Rev 00**	MOL.1996036.0340
Develop Technical Documents For Informational Purposes BB0000000-01717-2200-00008 Rev 00**	MOL.1996036.0341
Formal Review of Technical Documents BB0000000-01717-2200-00009 Rev 00**	MOL.1996036.0342
Informal Review of Technical Documents BB0000000-01717-2200-00010 Rev 00**	MOL.1996036.0343

Prepare, Review, Transmit, and/or Present Reports, Presentations, Interoffice Correspondence, etc. BB0000000-01717-2200-00011 Rev 00**	MOL.1996036.0344
Compile and Summarize Background Information and Data BB0000000-01717-2200-00012 Rev 00**	MOL.1996036.0345
Develop Engineering and Scientific Software BB0000000-01717-2200-00013 Rev 00**	MOL.1996036.0346
Qualification of Acquired Engineering and Scientific Software BB0000000-01717-2200-00015 Rev 00**	MOL.1996036.0347
Verification and Validation of Developed Engineering and Scientific Software BB0000000-01717-2200-00016 Rev 00**	MOL.1996036.0348
Coordination and Preparation of the Waste Package Conceptual Design Report BB0000000-01717-2200-00017 Rev 00**	MOL.1996036.0349
Prepare the Technical Implementation Plan (TIP) BB0000000-01717-2200-00018 Rev 00**	MOL.1996036.0350
Determine Data and Modeling Needs for Waste Package/Engineered Barrier Segment BB0000000-01717-2200-00018 Rev 00**	MOL.1996036.0351
Waste Package/Engineered Barrier Segment Component and Performance Requirements BB0000000-01717-2200-00020 Rev 00**	MOL.1996036.0352
Formal Review of Design Requirements BB0000000-01717-2200-00021 Rev 00**	MOL.1996036.0353
Environment, Waste Forms, and Materials Inputs BB0000000-01717-2200-00022 Rev 00**	MOL.1996036.0354
Plan Technical Work and Determine the Technical Status of Work BB0000000-01717-2200-00023 Rev 00**	MOL.1996036.0355
Support Closure of Regulatory Issues and SCA Open Items BB0000000-01717-2200-00024 Rev 00**	MOL.1996036.0356
Perform Criticality, Thermal, Structural, and Shielding Analyses BB0000000-01717-2200-00025 Rev 00**	MOL.1996036.0357

Perform Criticality, Thermal, Structural, and Shielding Scoping Analyses BB0000000-01717-2200-00026 Rev 00	MOL.1996036.0358
Prepare Drawings of Waste Package/Engineered Barrier Segment Configuration Items BB0000000-01717-2200-00027 Rev 00**	MOL.1996036.0359
Prepare Figures and/or Sketches Which Illustrate Design Configurations BB0000000-01717-2200-0027 Rev 00**	MOL.1996036.0360
Perform Waste Stream Analysis to Determine Design** Analyses BB0000000-01717-2200-00029 Rev 00**	MOL.1996036.0361
Perform Probabilistic Waste Package Design Analyses BB0000000-01717-2200-00030 Rev 00**	MOL.1996036.0362
Perform Probabilistic Waste Package Concept Scoping Analyses BB0000000-01717-2200-00031 Rev 00**	MOL.1996036.0363
Prepare the Disposal Criticality Analysis Technical Report BB0000000-01717-2200-00032 Rev 00**	MOL.1996036.0364
Waste Package Fabrication Cost Engineering BB0000000-01717-2200-00033 Rev 00**	MOL.1996036.0365
QARD-Required Support of Other Activities BB0000000-01771-2200-00034 Rev 00**	MOL.1996036.0366
Studies Not Supported by the Office of Civilian Radioactive Waste Management BB0000000-01717-2200-00035 Rev 00**	MOL.1996036.0367
MPC Design Compatibility with the MGDS BB0000000-01717-2200-00003 Rev 02 **	MOL.19960710.0003
Analyze Material and Performance Information and Data in Support of Waste Package/Engineered Segment Development BB0000000-01717-2200-00004 Rev 03**	MOL.19960710.0004
Waste Package/Engineered Barrier Segment Materials Selection BB0000000-01717-2200-00005 Rev 02**	MOL.199607010.0005
Prepare Status Reports and Other Documents and Reports Used for Information Only BB0000000-01717-2200-0006 Rev 02**	MOL.199607010.0006

Develop Technical Documents BB0000000-01717-2200-0007**	MOL.199607010.0007
Formal Review of Technical Documents BB0000000-01717-2200-0009 Rev 01**	MOL.199607010.0008
Informal Review of Technical Documents BB0000000-01717-2200-00010 Rev 01**	MOL.199607010.0009
Prepare, Review, Transmit and/or Present Reports, Presentations, Interoffice Correspondence, etc. BB0000000-01717-2200-00011 Rev 01**	MOL.199607010.00010
Compile and Summarize Background Information and Data BB0000000-01717-2200-00012 Rev 01**	MOL.199607010.00011
Develop Engineering and Scientific Software BB0000000-01717-2200-00013 Rev 01**	MOL.199607010.00012
MGDS Inputs to the MPC System Design Procurement Specification TBVs BB0000000-01717-2200-00014 Rev 01**	MOL.199607010.00013
Qualification of Acquired Engineering and Scientific Software BB0000000-01717-2200-00015 Rev 01**	MOL.199607010.00014
Verification and Validation of Developed Engineering and Scientific Software BB0000000-01717-2200-00016 Rev 01**	MOL.199607010.00015
Coordination and Preparation of the Waste Package Conceptual Design Report BB0000000-01717-2200-00017 Rev 01**	MOL.199607010.00016
Determine Data and Modeling Needs for Waste Package/Engineered Barrier Segment BB0000000-01717-2200-00019 Rev 01**	MOL.199607010.00017
Waste Package/Engineered Barrier Segment Component and Performance Requirements BB0000000-01717-2200-00020 Rev 01**	MOL.199607010.00018
Formal Review of Design Requirements BB0000000-01717-2200-00021 Rev 01**	MOL.199607010.00019
Environment, Waste Forms and Materials Inputs BB0000000-01717-2200-00022 Rev 01**	MOL.199607010.00020

Perform Criticality, Thermal, Structural, and Shielding Analyses BB0000000-01717-2200-00025 Rev 01**	MOL.199607010.00021
Perform Criticality, Thermal, Structural, and Shielding Scoping Analyses BB0000000-01717-2200-00026 Rev 01**	MOL.199607010.00022
Prepare Drawings of Waste Package/Engineered Barrier Segment Configuration Items BB0000000-01717-2200-00027 Rev 01**	MOL.199607010.00023
Prepare Figures and /or Sketches Which Illustrate Design Configurations BB0000000-01717-2200-00028 Rev 01**	MOL.199607010.00024
Perform Waste Stream Analysis to Determine Design Basis Fuel BB0000000-01717-2200-00029 Rev 01**	MOL.199607010.00025
Perform Probabilistic Waste Package Design Analyses BB0000000-01717-2200-00030 Rev 01**	MOL.199607010.00026
Perform Probabilistic Waste Package Concept Scoping Analyses BB0000000-01717-2200-00031 Rev 01**	MOL.199607010.00027
Prepare the Disposal Criticality Analysis Technical Report BB0000000-01717-2200-00032 Rev 01**	MOL.199607010.00028
Studies Not Supported by the Office of Civilian Radioactive Waste Management BB0000000-01717-2200-00035 Rev 01**	MOL.199607010.00029
Engineering Development BB0000000-01717-2200-00001 Rev 02**	MOL.199607010.00031
MPC Design Compatibility with the MGDS BB0000000-01717-2200-00003 Rev 03**	MOL.199607010.00032
Analyze Material and Performance Information and Data in Support of Waste Package/Engineered etc BB0000000-01717-2200-00004 Rev 04**	MOL.199607010.00033
Waste Package/Engineered Barrier Segment Materials Selection BB0000000-01717-2200-00005 Rev 03**	MOL.199607010.00034
Develop Technical Documents BB0000000-01717-2200-00007 Rev 02**	MOL.199607010.00035

Formal Review of Technical Documents BB0000000-01717-2200-0009 Rev 02**	MOL.199607010.00036
MGDS Inputs to the MPC System Design Procurement Specification TBV's BB0000000-01717-2200-00014 Rev 02	MOL.199607010.00037
Coordination and Preparation of the Waste Package Conceptual Design Report BB0000000-01717-2200-00017 Rev 02**	MOL.199607010.00038
Waste Package/Engineered Barrier Segment Component and Performance Requirements BB0000000-01717-2200-00020 Rev 02**	MOL.199607010.00039
Formal Review of Design Requirements BB0000000-01717-2200-00021 Rev 02**	MOL.199607010.00040
Environment, Waste Forms, and Materials Inputs BB0000000-01717-2200-00022 Rev 02**	MOL.199607010.00041
Perform Criticality, Thermal, Structural, and Shielding Analyses BB0000000-01717-2200-00025 Rev 02**	MOL.199607010.00042
Prepare Drawings of Waste Package/Engineered Barrier Segment Configuration Items BB0000000-01717-2200-00027 Rev 02**	MOL.199607010.00043
Perform Waste Stream Analysis to Determine Design Basis Fuel BB0000000-01717-2200-00029 Rev 02**	MOL.199607010.00044
Perform Probabilistic Waste Package Design Analysis BB0000000-01717-2200-00030 Rev 02**	MOL.199607010.00045
Formal Review of Technical Documents BB0000000-01717-2200-00009 Rev 03**	MOL.199607010.00046
Informal Review of Technical Documents BB0000000-01717-2200-00010 Rev 02**	MOL.199607010.00047
Coordination and Preparation of the Waste Package Conceptual Design Report BB0000000-01717-2200-00017 Rev 03**	MOL.199607010.00048
Commitment Tracking Program Oversight B00000000-01717-2200-00075 Rev 01	MOL.19960416.038
QADIT MGDS Operations Representative B00000000-01717-2200-00074 Rev 01	MOL.19960416.037

Procedure Development and other General QA Activities B00000000-01717-2200-00073 Rev 01	MOL.19960416.036
Tracking and Trending Program Oversight B00000000-01717-2200-00072 Rev 01	MOL.19960416.035
Performance Indicators Program Development & Oversight B00000000-01717-2200-00071 Rev 01	MOL.19960416.034
Reviews and Evaluations B00000000-01717-2200-00070 Rev 01	MOL.19960314.0274
Monitor QA Activities through Product Integrity Reviews B00000000-01717-2200-00062 Rev 01	MOL.19960416.0030
MGDS Regulatory Compliance Review B00000000-01717-2200-00055 Rev.00	MOL.19951108.0032
Determination of Importance Evaluations B00000000-01717-2200-00056 Rev 02	MOL.19960711.0214
Develop Preliminary MGDS Hazards Analysis B00000000-01717-2200-00172 Rev 00	MOY-960911-16
Specialty Engineering B00000000-01717-2200-00077 Rev 01	MOL.19960221-0390
M&O Configuration Management B00000000-01717-2200-00158 Rev 00	MOL.19960624.0276
Coordination of Lessons Learned Program B00000000-01717-2200-00069 Rev 01	MOL.19960416.032
Design Basis Event Definition and Analysis B00000000-01717-2200-00165 Rev 00	MOL.19960711.2017
QAP-2-0 Work Control Evaluation for the Mined Geologic Disposal System Design Requirements Document B00000000-01717-2200-00175 Rev 00 **	MOY-960731-05
QAP-2-0 Work Control Evaluation for the Mined Geologic Disposal System Design Requirements Document B00000000-01717-2200-00175 Rev 01 **	MOY-960731-05

Based on discussions with Scientific Investigations and Operations management, Product Integrity staff determined that most documents generated by the Scientific Investigations and Operations Organization are produced in accordance with Participant or YMP procedures and therefore do not follow M&O QAP-17-1. Documents other than the QAP-2-0 activity evaluations were not evaluated as part of the investigation. Results of the QAP-2-0 activity evaluations are provided in the table below:

Title	Accession/ Batch Number
SBTCO B00000000-01717-2200-00114 R.03	MOY-960223-03
History and Current Seismicity B00000000-01717-2200-00160 R.00	MOY-960223-03
Planning Site Investigations B00000000-01717-2200-00081 R.00	MOY-960223-03
SPO Management B00000000-01717-2200-00166 R.03	MOY-96-0305-13
Geochemistry/ Rock Char./ Human Interference B00000000-01717-2200-00126 R.03	MOL.19960507.0140
Geochemistry/Rock Characteristics/Human Interference B00000000-01717-2200-00126 R. 4**	MOY-960517-04-01
Metallic Resource Assessment, YMP B00000000-01717-2200-00171 R. 0 **	MOY-960517-04-02
Feasibility Assessment of Surface Markers at YM B00000000-01717-2200-00164 Rev0**	MOY-960517-04-03
Geothermal Resource assessment of the YM Area B00000000-01717-2200-00163 R. 0 **	MOY-960517-04-05
Integrated 3-D Modeling B00000000-01717-2200-00125 R. 0 **	MOY-960517-04-04

**Quality Assurance**

OPI sampled six (approximately 25%) of the M&O Title III Overview Inspection Reports generated in accordance with M&O NLP-2-3 from August 1995 through the present. All reports had been submitted to the Document Records Center. The results are as follows:

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<b>Title III Overview Report No.</b>	<b>Date</b>	<b>Job Package Number</b>
96-0001	10/24/95	JP 92-20
96-0003	11/20/95	JP 92-20
96-0006	1/26/96	JP 96-01
96-0009	02/02/96	JP 96-01
96-0012	02/21/96	JP 96-01
96-0014	02/11/96	JP 96-01

In addition, OPI sampled five M&O Quality Assurance organization surveillance reports generated since August 1995 and could not find objective evidence that two Surveillances had been submitted to the RPC. Based on the high failure rate in this case, OPI requested M&O QA to perform a 100% verification of all Surveillances generated during that time. The results of that verification are documented in M&O Quality Assurance Surveillance Report 96-NSS-40 dated May 20, 1996.

## **Support Operations**

### **I. SUPPORT OPERATIONS ACTIVITY EVALUATION RECORDS REVIEW.**

Evaluation of Activity Evaluation Records for Support Operations included a 100% review of current evaluations.

Title	Document ID	Accession/ Batch Number
QAP-2-0, Activity Evaluation for Technical Publications Management, Rev. 3,	B00000000-01717-2200-00076	MOY.960308-01
Surface, Groundwater, and C-14 Radiological Monitoring, Rev. 2,	B00000000-01717-2200-00090	MOL.19960404.0267
Radiological Monitoring For Health And Safety, Rev. 1.	B00000000-01717-2200-00091	MOL.19960329.0163
Radiological Scoping and Development, Rev. 1.	B00000000-01717-2200-00092	MOL.19960329.0159
Radiological Monitoring, Rev.1.	B00000000-01717-2200-00095	MOL.19960329.0152
Air Quality Monitoring, Rev. 1.	B00000000-01717-2200-00096	MOL.19960329.0155
Meteorological Monitoring, Rev. 3.	B00000000-01717-2200-00097	MOL.19960404.0293
QAP-2-0 Work Control Evaluation for Records Management Department	B00000000-01717-2200-00107	MOY.960214-03
Regional Meteorology, Rev. 3.	B00000000-01717-2200-00120	MOL.19960404.0280
Environmental Field Coordination, Rev. 1.	B00000000-01717-2200-00121	MOL.19960329.0161
Define, Develop and Maintain QA Software, Rev. 1	B00000000-01717-2200-00129	MOL.19960220.0053

Define, Develop and Maintain Administrative Software, Rev. 1	B00000000-01717-2200-00130	MOL.19960220.0056
Implement and Maintain an Office Automation Environment, Rev. 1	B00000000-01717-2200-00131	MOL.19960220.0059
IRM Administration, Rev. 1	B00000000-01717-2200-00132	MOL.19960220.0062
Data Management, Rev. 1	B00000000-01717-2200-00133	MOL.19960220.0065
Activity Evaluation for the Environmental Field Activity Plan for Noise, Rev. 0 **	B00000000-01717-2200-00141	MOY.960522-05-05
Activity Evaluation for the Environmental Field Activity Plan for Noise, Rev. 1**	B00000000-01717-2200-00141	MOY.960522-05-01
Activity Evaluation for the Environmental Field Activity Plan for Noise, Rev. 2	B00000000-01717-2200-00141	MOL.19960404.0276
Activity Evaluation for the Environment Field Activity Plan for Aesthetics, Rev.0 **	B00000000-01717-2200-00142	MOY.960522-05-02
Activity Evaluation for the Environment Field Activity Plan for Aesthetics, Rev.1**	B00000000-01717-2200-00142	MOY.960522-05-03
Activity Evaluation for the Environment Field Activity Plan for Aesthetics, Rev.2	B00000000-01717-2200-00142	MOL.19960404.0286
Environmental, Safety, and Health Compliance Department, Rev. 0 **	B00000000-01717-2200-00145	MOY.960522.07
Environmental Compliance and Permitting, Rev. 1	B00000000-01717-2200-00146	MOL.19960404.0291
Environmental Impact Statement Support, Rev. 1	B00000000-01717-2200-00147	MOL.19960404.0278

Hazardous Waste Management, Rev. 1	B00000000-01717-2200-00148	MOL.19960404.0300
Native American Interactions, Rev. 1	B00000000-01717-2200-00149	MOL.19960404.0282
Land Access, Rev. 1	B00000000-01717-2200-00150	MOL.19960404.0289
Terrestrial Ecosystems, Rev. 1	B00000000-01717-2200-00153	MOY-960422-07
Socioeconomics, Rev. 0	B00000000-01717-2200-00154	MOL.19960213.0363
Activity Evaluation for the Environmental Field Activity Plan for Soils, Rev. 0 **	B00000000-01717-2200-00155	MOY-960522-05-05
Scientific Investigations of Radiological Doses in Biosphere, Rev. 1 **	B00000000-01717-2200-00169	MOL.19960424.0059

II. MEASURING AND TEST EQUIPMENT/ OPERATING EQUIPMENT RECORD SUBMITTALS.

Evaluation of M&TE/OE records included a 100% review.

Title	Accession/Batch Number
"CALIBRATION CERTIFICATE FOR RELATIVE HUMIDITY SENSOR S/N:23705", "20658"	MOL.19951023.0164
"CALIBRATION CERTIFICATE FOR RELATIVE HUMIDITY SENSOR, S/N: 27838", "05118"	MOL.19951102.0344
"CALIBRATION CERTIFICATE FOR RELATIVE HUMIDITY SENSOR, S/N: 23706", "20659"	MOL.19951102.0346
"CALIBRATION CERTIFICATE FOR RELATIVE HUMIDITY SENSOR, S/N: 27840", "05115"	MOL.19951206.0414
"CALIBRATION CERTIFICATE FOR RELATIVE HUMIDITY SENSOR, S/N: 27834", "05124"	MOL.19951206.0424
"CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4757", "05123"	MOL.19951206.0422
"CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4754", "05022"	MOL.199 51206.0400
"CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4785", "05023" Record Date: 9/7/95	MOL.19951206.0402
"CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4772", "05114"	MOL.19951206.0412
"CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4756", "05117"	MOL.19951206.0416

CALIBRATION CERTIFICATE FOR RELATIVE HUMIDITY SENSOR, S/N: 27844", "05121"	MOL.19951206.0420
CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4755", "05120"	MOL.19951206.0418
"CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4764", "05021"	MOL.19951206.0398
"CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4762", "05025"	MOL.19951206.0404
"M&TE STANDARDS USAGE LOG FOR GRADUATED CYLINDER, S/N: BC1", "30011" **	MOL.19960205.0087
"M&TE STANDARDS USAGE LOG FOR GRADUATED CYLINDER, S/N: SE101491PF-1", "04022"	MOL.19960205.0089
"M&TE STANDARDS USAGE LOG FOR ANEMOMETER DRIVE, S/N: N/A", "20003"	MOL.19960205.0035
CALIBRATION CERTIFICATE FOR RELATIVE HUMIDITY SENSOR, S/N: 27836", "05112" **	MOL.19960205.0023
CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4779", "05111"	MOL.19960205.0015
"CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4749", "05132"	MOL.19960205.0017
CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4774", "05029"	MOL.19960205.0021
"M&TE STANDARDS USAGE LOG FOR GRADUATED CYLINDER, S/N: PC1", "30010"	MOL.19960205.0085

"CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4752", "05129"	MOL.19960205.0019
"CALIBRATION CERTIFICATE FOR RELATIVE HUMIDITY SENSOR, S/N: 27837", "05127"	MOL.19960205.0001
"CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4791", "05058"	MOL.19960205.0011
"CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4765", "05126"	MOL.19960205.0007
"CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4781", "05056"	MOL.19960205.0013
"CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4786", "05031"	MOL.19960205.0005
"CALIBRATION CERTIFICATE FOR RELATIVE HUMIDITY SENSOR, S/N: 27843", "05096" **	MOL.19960312.0306
"CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4747", "05098" **	MOL.19960312.0310
"CALIBRATION CERTIFICATE FOR TEMPERATURE SENSOR, S/N: 4729", "05095" **	MOL.19960312.0312
"CALIBRATION CERTIFICATE FOR BAROMETRIC PRESSURE SENSOR, S/N: 279", "05160" **	MOL.19960312.0308
"CALIBRATION CERTIFICATE FOR ANEMOMETER DRIVE, S/N: CA01574", "301505"	MOL.19960312.0300
"CALIBRATION CERTIFICATE FOR GRADUATED CYLINDER, S/N: N/A", "30017"	MOL.19960312.0302

<b>"CALIBRATION CERTIFICATE FOR ANEMOMETER DRIVE, S/N: N/A", "20931"</b>	<b>MOL.19960315.0001</b>
<b>"CALIBRATION CERTIFICATE FOR BAROMETRIC PRESSURE SENSOR, S/N: 268", "05156"</b>	<b>MOL.19960401.0171</b>

### III. PROCUREMENT DOCUMENTATION RECORDS

R/EFPD procurement documentation evaluation included a 100% review. There were only 3 records packages which were identified.

Title	Accession / Batch Number
Westinghouse PO#39-960036-39	MOY-960321-09 MOL. 19960408.0158
Climatronics PO# 39-960033-39, Acceptance Report	Segment# 960208-01
Climatronics PO# 39-960033-39, Acceptance Report,	Segment# 960208-02

#### Site Construction & Operations

Deficiency Report YMQAD-96-D042 identified two documents related to borehole activities that had not been submitted to the RPC in a timely manner. Based on that information, the investigation evaluated over one hundred forty documents related to field activities. The results of the review are provided in the table below:

Title	DRC Verification Number or Batch#
ESF-AL#3-RBT#1, Drilling Support Segment	DRC -117
ESF-Alcove#2 Intact Fracture Testing, Drilling Support Segment	DRC-117
LVYM.DSSM.MRM (2/96-051) USW SD-7, Phase II Video Tapes	DRC-091
LVYM.DSSM.MRM (2/96-052) USW SD-7, Phase II Video Tapes	DRC-091
LVYM.DSSM.MRM (2/96-053) USW SD-7, Phase II Video Tapes	DRC-091
LVYM.DSSM.MRM (2/96-054) USW SD-7, Phase II Video Tapes	DRC-091
LVYM.DSSM.MRM (2/96-055) USW SD-7, Phase II Video Tapes	DRC-091

LVYM.DSSM.MRM (2/96-056) USW SD-7 Composite Borehole Log	DRC-091
LVYM.DSSM.MRM (2/96-058) USW SD-7, Phase II Video Tapes	DRC-091
LVYM.DSSM.MRM (2/96-059) USW SD-7, Phase II Video Tapes	DRC-091
LVYM.DSSM.MRM (2/96-060) USW SD-7, Phase II Video Tapes	DRC-091
LVYM.DSSM.MRM (2/96-061) USW SD-7, Phase II Video Tapes	DRC-091
SMF Specimen Shipment Packaging Logs for Z. Peterman for SD-12, 8/30/95	MOY-95-0808-30
Daily Activity Log for UZ-7a dated 3/21/95-4/4/95	DRC-132
USW UZ-7a Core Videotapes	DRC-132
Shift Drilling Summary for USW UZ-7a dated 3/21/95	DRC-132
Shift Drilling Summary for USW UZ-7a dated 3/24/95	DRC-132
Shift Drilling Summary for USW UZ-7a dated 5/02/95	DRC-132
Structural Log for USW UZ-7a from 38.7' to 45.5'	DRC-132
Structural Log for USW UZ-7a from 76.2' to 79.7'	DRC-132
Structural Log for USW UZ-7a from 192.0' to 196.7'	DRC-132
USW UZ-7a Composite Borehole Log	DRC-132
Field Facility Access Log for USW UZ-7a dated 3/21/95	DRC-132
Field Facility Access Log for USW UZ-7a dated 5/17/95	DRC-132
Field Video Logs for USW UZ-7a	DRC-132
USW UZ-7a Lithologic Log dated 3/24/95	DRC-132
USW UZ-7a Lithologic Log dated 4/7/95	DRC-132
USW UZ-7a Lithologic Log dated 4/27/95	DRC-132
USW UZ-7a Lithologic Log dated 5/18/95	DRC-132
USW UZ-7a Lithologic Log dated 5/26/95	DRC-132
Sample Time Logs for USW UZ-7a	DRC-132
Sample Weight Logs for USW UZ-7a	DRC-132

DS&SM Equipment Calibration Datasheet for Dickson THDX dated 1/4/96	DRC.19960606.0053-0056
DS&SM Equipment Calibration Datasheet for Dickson THDX dated 12/21/95	DRC.19960606.0053-0056
Calibration Datasheet for Mettler Balance dated 1/8/96	DRC-960520-01-02
Calibration Datasheet for Mettler Balance dated 1/12/96	DRC-960520-01-02
Sample Examination Request & Sample Examination Log for 10/24/95-10/26/95	MOY-951106-08
Specimen Removal Request for Alan Flint dated 4/15/93	DRC.19960522.0001
SMF Specimen Removal Log for UZ-14 for A. Flint	DRC.19960522.0001
SMF Specimen Shipment Packaging Log for UZ-14 for A. Flint	DRC.19960522.0001
SMF Specimen Custody Receipt for UZ-14 for A. Flint	DRC.19960522.0001
SMF Specimen Shipment Transfer of Custody Form for A. Flint for UZ-14	DRC.19960522.0001
Yvonne Tsang Field Packaging Approval for ESF-TMA-H1	DRC-960520-02-03
Yvonne Tsang Field Packaging Approval for ESF-TMA-OMPBX-1	DRC-960520-02-02
Yvonne Tsang Field Packaging Approval for ESF-TMA-MPBX-4	DRC-960520-02-01
Sample Collection Report for Robin J. Tausch dated 7/12/90	MOY-960122-07
Sample Collection Reports for Peter Wigand dated 9/26/88	DRC-960514-03-08
Sample Collection Report for Peter Wigand dated 6/11/88	DRC-960514-03-08
Sample Collection Report for Peter Wigand dated 4/26/88	DRC-960514-03-08
Sample Collection Report for Peter Wigand dated 11/3/87	DRC-960514-03-08
Purchase Order #39-960042-95	DRC-960530-02
QA Purchase Requisition for PO #39-960042-95	DRC-960530-02
Checklist for Preparation and Review of Quality Affecting Procurement Documents for PO #39-960042-95	DRC-960530-02
Acceptance Report for PO #39-960042-95	DRC-960530-02

Standard Quality Assurance Clauses for PO #39-960042-95	DRC-960530-02
Procedure Compliance Documentation Form for PO #39-960042-95	DRC-960530-02
Purchase Order 39-960044-95	DRC-960530-02
Purchase Order 39-960045-95	DRC-960530-02
Purchase Order 39-960042-95	DRC-960530-02
Review Package for NWI-DS-001Q review for Rev. 1, ICN 1, EICN 2	MOY-960516-13-03
NWI-DS-001Q, Revision 1, ICN 1- Supplement to MOL.19960131.0001	DRC.19960320.000-.0039
NLP-6-3, Revision 0, Review Package	DRC.19960320.0001-.0039
NWI-SMF-005Q, Revision 1, ICN 1 - Supplement to MOL.19960131.0027	DRC.19960320.0001-.0039
Dry Stylus Thermometer Vendor Manual Review Package	MOY-960516-13-02
ESF-AL#4-RBT#1 Drilling Support Segment	DRC-117
ESF-AL#3-RBT#4 Drilling Support Segment	DRC-117
USW SD-12 Weight Logs, Composite Borehole Log	DRC-079
USW SD-12 Structure Logs	DRC-079
USW SD-9 Structure Logs	DRC-084
USW SD-7 Structure Logs	DRC-091
UE-25 UZ#5 segment	DRC-130
Fran Ridge Drilling Support Segment	DRC-059
Sample Examination Requests and Sample Examination Logs for 9/1/95-9/29/95	MOY-951024-06
Sample Examination Requests and Sample Examination Logs for 7/17/95-7/31/95	MOY-950918-08
Sample Examination Requests and Sample Examination Logs for 8/1/95 - 8/31/95	MOY-950918-08
John Kepper Sample Examination Request for 9/1/94	MOY-950808-34
Dale Engstrom Sample Examination Requests for 8/8/94-6/28/95	MOY-950808-34

David Vaniman Sample Examination Requests for 1/4/94-7/12/95	MOY-950808-34
Tom Moyer Sample Examination Requests for 8/25/94-6/21/95	MOY-950808-34
Eric Martin Sample Examination Requests for 8/15/94-7/13/95	MOY-950808-34
Carl Zimmerman Sample Examination Requests for 6/23/95-6/30/95	MOY-950808-32
Zell Peterman Specimen Removal Request, 7/19/95	MOY-951127-18
G. Patterson/L. Flint Field Packaging Approval for ESF-Alcove #2	DRC.19960304.0019-.0026
G. Patterson/L. Flint Field Packaging Approval for ESF-Alcove #4	DRC.19960304.0019-.0026
D. Buesch Field Packaging Approval for ESF-Main Drift	DRC.19960304.0019-.0026
G. Severson Field Packaging Approval For ESF-Alcove #4	MOY-960122-05
L. Flint Field Packaging Approval for ESF-Alcove #2	MOY-960122-05
L. Flint Field Packaging Approval for ESF-AL#2-HPF#3	MOY-960122-05
Wunan Lin Field Packaging Approval for Fran Ridge	MOY-960122-05
Chris Rautman Field Packaging Approval For USW SD-12	MOY-960122-05
In Che Yang Field Packaging Approval for USW SD-9	MOY-960122-05
June Fabryka-Martin Field Packaging Approval for NRG-6	MOY-950127-19
Pam Rogers Field Packaging Approval for USW SD-7	MOY-950127-19
David Kessel Field Packaging Approval for NRG-2e	MOY-950127-19
David Kessel Field Packaging Approval for NRG-2c	MOY-950127-19

Field container Summary and Transmittal for UE-25 WM#2	MOY-950127-19
Confirmation/Verification Checklist for UE-25 WM#2	MOY-950127-19
Field Container Summary and Transmittals for ESF/MDS-MPBX#1	DRC-960327-01
Confirmation/Verification Checklist for ESF/MDS-MPBX#1	DRC-960327-01
Core Processing Checklist for ESF/MDS-MPBX#1	DRC-960327-01
Field Container Summary and Transmittal for ESF/MDS-MPBX#2	DRC-960327-01
Confirmation/Verification Checklist for ESF/MDS-MPBX#2	DRC-960327-01
Core Processing Checklist for ESF/MDS-MPBX#2	DRC-960327-01
Schmidt Hammer Testing, SMF Record Package	MOY-960516-13-01
Field Video Logs for WN#4, WN#5, WT#1, WT#2, WT#3 Fran Ridge Phase II	DRC -059
Lithologic Logs for WN#4, WN#5, WT#1, WT#2, WT#3 Fran Ridge Phase II	DRC-059
Supplement to MOL.19950206.0187, Chris Rautman Specimen Removal Request Record Package	DRC.19960520.0016-.0019
Daily Activity Log for Fran Ridge Boreholes	DRC-059
Field Facility Access Logs for Fran Ridge Boreholes	DRC-059
Field Video Logs for Fran Ridge Boreholes	DRC-059
Lithologic Logs for Fran Ridge Boreholes	DRC-059
Shift Drilling Summaries for Fran Ridge Boreholes	DRC-059
Structure Logs for Fran Ridge Boreholes	DRC-059
Composite Borehole Logs for Fran Ridge Boreholes	DRC-059
Core Video Tapes for Fran Ridge Boreholes	DRC-059

Field Video Logs for boreholes EH#1, EH#2, EH#3, EH#4, EH#5, EO#3, ERT#1, ERT#2 Fran Ridge Phase II	DRC-059
Core Run Records for boreholes EH#1, EH#2, EH#3, EH#4, EH#5, EO#3, ERT#1, ERT#2 Fran Ridge Phase II	DRC-059
Lithologic Logs for boreholes EH#1, EH#2, EH#3, EH#4, EH#5, EO#3, ERT#1, ERT#2 Fran Ridge Phase II	DRC-059
Shift Drilling Summaries for boreholes EH#1, EH#2, EH#3, EH#4, EH#5, EO#3, ERT#1, ERT#2 Fran Ridge Phase II	DRC-059
Structural Log for boreholes EH#1, EH#2, EH#3, EH#4, EH#5, EO#3, ERT#1, ERT#2 Fran Ridge Phase II	DRC-059
Field Video Logs for boreholes NH#1, NM#1, NM#2, NM#3, NN#1, NN#2, NN#3, NN#4 Fran Ridge Phase II	DRC-059
Core Run Record for boreholes NH#1, NM#1, NM#2, NM#3, NN#1, NN#2, NN#3, NN#4 Fran Ridge Phase II	DRC-059
Lithologic Logs for boreholes NH#1, NM#1, NM#2, NM#3, NN#1, NN#2, NN#3, NN#4 Fran Ridge Phase II	DRC-059
Shift Drilling Summaries for boreholes NH#1, NM#1, NM#2, NM#3, NN#1, NN#2, NN#3, NN#4 Fran Ridge Phase II	DRC-059
Structure Logs for boreholes NH#1, NM#1, NM#2, NM#3, NN#1, NN#2, NN#3, NN#4 Fran Ridge Phase II	DRC-059
Field Container Summary & Transmittal for ESF-BRFA-HPF#2	DRC.19960417.0001-.0004
Temperature Recording Charts for ESF-BRFA-HPF#2	DRC.19960417.0001-.0004
Confirmation/Verification Checklist for ESF-BRFA-HPF#2	DRC.19960417.0001-.0004
Core Processing Checklist for ESF-BRFA-HPF#2	DRC.19960417.0001-.0004
Field Video Log for boreholes WH#1, WH#2, WM#1, WM#2, WM#3, WN#1, WN#2, WN#3 Fran Ridge Phase II	DRC-059
Core Run Record for boreholes WH#1, WH#2, WM#1, WM#2, WM#3, WN#1, WN#2, WN#3 Fran Ridge Phase II	DRC-059
Shift Drilling Summaries for boreholes WH#1, WH#2, WM#1, WM#2, WM#3, WN#1, WN#2, WN#3 Fran Ridge Phase II	DRC-059
Lithologic Logs for boreholes WH#1, WH#2, WM#1, WM#2, WM#3, WN#1, WN#2, WN#3 Fran Ridge Phase II	DRC-059

Structure Logs for boreholes WH#1, WH#2, WM#1, WM#2, WM#3, WN#1, WN#2, WN#3 Fran Ridge Phase II	DRC-059
Transfer of Control Distribution of DS&SM Vendor/Operating Equipment (VM/OE) from T&MSS to M&O	MOY-951221-04
LVYM.DSSM.MRM (2/96-058) USW SD-7, Phase II Video Tapes	DRC-91
Shift Drilling Summaries for boreholes WN#4, WN#5, WT#1, WT#2, WT#3 Fran Ridge Phase II	DRC-059
Structural Logs for boreholes WN#4, WN#5, WT#1, WT#2, WT#3 Fran Ridge Phase II	DRC-059
Core Run Records for boreholes WN#4, WN#5, WT#1, WT#2, WT#3 Fran Ridge Phase II	DRC-059
SMF Specimen Removal Logs for Z. Peterman for SD-12, 7/19/95	MOY-951127-18
Field Video Logs for boreholes NN#5, NN#6, NO#1, NO#2, NT#1, NT#2, NT#3, NT#4 Fran Ridge Phase II	DRC-059
Core Run Records for boreholes NN#5, NN#6, NO#1, NO#2, NT#1, NT#2, NT#3, NT#4 Fran Ridge Phase II	DRC-059
Lithologic Logs for boreholes NN#5, NN#6, NO#1, NO#2, NT#1, NT#2, NT#3, NT#4 Fran Ridge Phase II	DRC-059
Shift Drilling Summaries for boreholes NN#5, NN#6, NO#1, NO#2, NT#1, NT#2, NT#3, NT#4 Fran Ridge Phase II	DRC-059
Structure Logs for boreholes NN#5, NN#6, NO#1, NO#2, NT#1, NT#2, NT#3, NT#4 Fran Ridge Phase II	DRC-059

Sample Management Facility Activity Evaluation (BAB000000-01717-00141, Rev. 1)	DRC.19960226.0007-0012
Activity Evaluation for Drilling Support Department (BAB000000-01717-2200-00142, Rev. 1)	DRC.19960226.0007-0012

### Regulatory Operations

Based on a review of the QAP-2-0 evaluations and discussions with Regulatory Operations personnel, Product Integrity determined that the only quality affecting documentation that the Regulatory Operations organization produced using M&O QAPs during the period under investigation were the QAP-2-0 activity evaluations. The results of the investigation for the QAP-2-0 activity evaluations is presented in the table below:

Document Title	Tracking Number
Activity Evaluation - Regulatory Interactions - B00000000-01717-2200-00081 Rev 0**	MOY-96029-16
Activity Evaluation - Site Characterization Progress Report - B00000000-01717-2200-00065 Rev 0**	MOY-96029-16
Activity Evaluation Regulatory Compliance Plan B00000000-01717-2200-00066 Rev 0**	MOY-96029-16
Activity Evaluation - Regulatory Comment Responses - B00000000-01717-2200-00082**	MOY-96029-16
Activity Evaluation - Regulatory Reviews - B00000000-01717-2200-00035**	MOY-96029-16
Activity Evaluation - License Application Annotated Outline - B00000000-01717-2200-00064**	MOY-96029-16
Activity Evaluation - Regulatory Databases - B00000000-01717-2200-00084 Rev 0**	MOY-96029-16
Activity Evaluation - Regulatory Commitments - B00000000-01717-2200-00083 Rev 0**	MOY-96029-16
Activity Evaluation - White Papers - B00000000-01717-2200-00067 Rev 0**	MOY-96029-16
Activity Evaluation - Technical Data Management B00000000-01717-2200-00087 Rev 02**	MOY-96029-16
Activity Evaluation - PA - WBS 1.2.5.4 except parts of 5.4.7 & part of 5.4.2 B00000000-01717-2200-000108 Rev 01**	MOY-96029-16
Activity Evaluation - Performance Assessment - WBS 1.2.5.4.2, in part B00000000-01717-2200-00110 Rev 01**	MOY-96029-16
Activity Evaluation - Performance Assessment - Under WBS 1.2.5.4.7 B00000000-01717-2200-00109 Rev 01**	MOY-96029-16
Activity Evaluation - Probabilistic Volcanic Hazard Assessment - B00000000-01717-2200-00112 Rev 01**	MOY-96029-16
Activity Evaluation - Evaluation of Site Suitability - B00000000-01717-2200-00111 Rev 01**	MOY-96029-16

Activity Evaluation - Probabilistic Volcanic Hazard Assessment (PVHA) - B0000000-01717-2200-00112 Rev 02**	MOY-96029-16
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M&O Vienna

**Contract Deliverables -**

A total of 35 contracts deliverables were submitted to the client during the August 1995 to February 16, 1996 window. 13 of which were submitted to the Records Processing Center (RPC) in accordance with QAP-17-1.

Draft Reference Transportation and Data Assumptions Report	MOV.19950705.0089
Final Reference Transportation and Data Assumptions Report.	MOV.19950705.0098
Transportation Environmental Studies Report	MOV.19951218.0179
RISKIND Training Report	MOV.19951102.0073
RISKIND Evaluation Report	MOV.19951102.0039
RISKIND Technical Report	MOV.19951102.0054
125T MPC Emergency Response & Recovery Study	MOV.19951016.0038
Draft Report of CERES Data	MOV.19951103.0077
Final MC&A Task Force Report Requirements for Verification of Comments of Sealed Containers	MOV.19951003.0021
August Delivery Commitment Schedules Status Report	MOV.19951005.0036
September Commitment Schedules Status Report	MOV.19951025.0064
Unified Database Evaluation	MOV.19950710.0013
MPC EIS (Correspondence to Cease Preparation of the EIS)	MOV.19951221.0008

### QAP-2-0 Vienna Activity Evaluations

As with the line organizations in Las Vegas, a review of the QAP-2-0 activity evaluations produced in Vienna was performed. The results of the review are presented in the table below:

Title of QAP-2-0 Evaluation	Accession or Batch No.
KPB Consulting (QAP-2-0)	MOV-960708-02
Manage QA Surveillance Program (QAP-2-0)	MOV-960708-02
MGDS Design Support (QAP-2-0)	MOV-960708-02
Non-QA Training Activities (QAP-2-0)	MOV-960708-02
Perform Non-QA Support Functions (QAP-2-0)	MOV-960708-02
Perform Quality Assurance Surveillance (QAP-2-0)	MOV-960708-02
Program Level Decision Milestone Network Task (QAP-2-0)	MOV-960708-02
Programmatic Risk Task (QAP-2-0)	MOV-960708-02
Site Boundary Dose Calculation (QAP-2-0)	MOV-960708-02
Software Applications Group (QAP-2-0)	MOV-960708-02
Standard Canister Requirements Definition (QAP-2-0)	MOV-960708-02
System Concept of Operation Task (QAP-2-0)	MOV-960708-02
Verification of Personnel Qualifications (QAP-2-0)	MOV-960708-02
WAST Environmental/Institutional Activities (QAP-2-0)	MOV-960708-02
WAST Project Systems Engineering (QAP-2-0)	MOV-960708-02
WAST, Regulatory and Licensing, WBS, 3.1.5 (QAP-2-0)	MOV-960708-02
Alternative Waste Acceptance Strategies Study (QAP-2-0)	MOV-960708-03
Capacity Comparison for the MPC and Various DPCs (QAP-2-0)	MOV-960708-03
Conceptual System Description Task (QAP-2-0)	MOV-960708-03

Development of Training Materials & Certification of Instrs. (QAP-2-0)	MOV-960708-03
DOE Technical Support (QAP-2-0)	MOV-960708-03
Dose Assessment/ALARA Evaluation (QAP-2-0)	MOV-960708-03
Evaluation of Alternative Storage Strategies (QAP-2-0)	MOV-960708-03
Evaluation of MPC Design Alternatives (QAP-2-0)	MOV-960708-03
Evaluation of Operational Storage Requirements (QAP-2-0)	MOV-960708-03
Full Versus Partial Burnup Credit Worth Study (QAP-2-0)	MOV-960708-03
QAP-2-0 Work Control Evaluation for FY96 Waste Acceptance Activities (WBS 3.3) Revision 2	MOV-960708-03
Integrated Design Basis Fuels (QAP-2-0)	MOV-960708-03
Interim Storage Facility TSAR Licensing (QAP-2-0)	MOV-960708-03
ISF Requirements Document Development	MOV-960708-03
WBS 3.2.2 Certification Phase (QAP-2-0)	MOV-960708-02
WBS 3.2.8/transportation Operations (QAP-2-0)	MOV-960708-02
Activity Evaluation: Administrative Tasks Performed by Executive Assistant 03/31/95	MOV.19950814.0008
Activity Evaluation: Administrative Tasks for Systems Requirements Section 07/13/95	MOV.11950712.0001
Activity Evaluation: ASG Support 03/28/95	MOV.950327-02
Activity Evaluation: Burnup Credit Activities 07/12/95	MOV.19950728.0004
Activity Evaluation: Calibration Services of Instrumentation 01/19/96	MOV-950612-06
Activity Evaluation: Characteristics Database Annual Update 03/28/95	MOV-950327-02
Activity Evaluation: Computer Operations 06/30/95	MOV.19950712.0006

Activity Evaluation: Configuration Management Activities 03/31/95	MOV.19950814-0011
Activity Evaluation: Contingency Operations Acquisition Support (Procurement Sensitive) 01/19/96	MOV-960130-44
Activity Evaluation: Contracts & Subcontracts 02/28/95	MOL.19960322.0424
Activity Evaluation: Controlled Documents 07/14/95	MOV.19950801.0018
Activity Evaluation: Development of the Safeguards & Security Regulatory Mode 03/08/95	MOV.19950307.0005
Activity Evaluation: Development of the WASTOP 07/21/95	MOV.19950926.0050
Activity Evaluation: DOE-Managed Nuclear Waste Activities 05/10/95	MOV.19950512.0015
Activity Evaluation: Dose Assessment Calculation for the SPC, TSC, and MPC Systems 03/22/95	MOV-950324-01
Activity Evaluation: DRD Maintenance and V&V/Qualification Activities 10/03/95	MOV-951005-02
Activity Evaluation: Effect of Burnable Absorbers on Actinide-Only Burnup Credit 01/31/96	MOV-960131-04
Activity Evaluation: Engineering Drawing Documentation 05/08/95	MOV.19950512.0014
Activity Evaluation: Extended Dual Purpose Cask Design Acquisition 08/09/95	MOV.19950823.0003
Activity Evaluation: Fire Protection Review 03/17/95	MOV-950412-11
Activity Evaluation: Maintenance of SNFDHF 03/28/95	MOV-950327-02
Activity Evaluation: Managed Documents 03/17/95	MOV-950412-11
Activity Evaluation: Management of MPC Procurement Contract Activities 01/29/96	MOV-960206-01
Activity Evaluation: Modal Capability Analyses 11/01/95	MOV-960508-01
Activity Evaluation: Modeling & Database Management 03/28/95	MOV-950327-02

Activity Evaluation: Non-QA Software CM 03/28/95	MOV-950327-02
Activity Evaluation: ORNL Support 03/28/95	MOV-950327-02
Activity Evaluation: PNL Support 03/28/95	MOV-950327-02
Activity Evaluation: Precision Components Corporation (PCC) (Lessons Learned Report) 09/18/95	MOV-951211-01
Activity Evaluation: Preparation for Potential Interim Storage Activities 06/07/95	MOV-950612-06
Activity Evaluation: Preparation of System Interface Control Documents 03/31/95	MOV.19950814.0005
Activity Evaluation: Preparation/Delivery of Non-QA Training 03/17/95	MOV-950412-11
Activity Evaluation: Preparation/Distribution of QA Training 03/17/95	MOV-950412-11
Activity Evaluation: Preparation/Revise Administrative Procedures 03/17/95	MOV-950412-11
Activity Evaluation: Prepare/Revise QA Procedures 03/17/95	MOV-950412-11
Activity Evaluation: Procurement of QA Items and Services 03/17/95	MOV-950412-11
Activity Evaluation: QA Software CM and V&V 03/28/95	MOV-950327-02
Activity Evaluation: QARD Support 03/28/95	MOV-950327-02
Activity Evaluation: Quality Assurance - Vienna 01/18/96	MOV-960130-42
Activity Evaluation: Rebaselining 1992 CDB-Q 03/28/95	MOV-950327-02
Activity Evaluation: Receipt/Handling of Privileged Records 07/14/95	MOV.19950801.0016
Activity Evaluation: Receiving and Indexing Non-QA Records 03/17/95	MOV-950412-11
Activity Evaluation: Receiving and Indexing QA Records 07/14/95	MOV.19950801.0019

Activity Evaluation: RIDS Activities 03/17/95	MOV-950412-11
Activity Evaluation: Software Configuration Management and Verification & Validation 03/31/95	MOV.19950814.0013
Activity Evaluation: Storage and Protection of Inclusionary Records (03/17/95)	MOV-950412-11
Activity Evaluation: Support Services Functions 07/14/95	MOV.19950801.0017
Activity Evaluation: System and Subsystem Development Activities 03/31/95	MOV.19950814.0007
Activity Evaluation: System Planning and Integration 03/31/95	MOV.19950814.0010
Activity Evaluation: System Requirements Issue Resolution Plan 07/13/95	MOV.19950712.0003
Activity Evaluation: Systems Requirements Documents Revision 07/13/95	MOV.19950712.0002
Activity Evaluation: TBV and TBD Monitoring Activities 07/13/95	MOV.19950712.0004
Activity Evaluation: WBS 3.2.8.1 Documentation Data 10/06/95	MOV-951211-01
Activity Evaluation: WBS 3.2.8.5 Transportation Subsystem Planning & Integration 10/06/95	MOV-951211-01

Records Packages Associated with Procedures

Deficiency Report YMQAD-96-D042 identified one instance of a Quality Assurance Procedure not being submitted to the RPC in a timely manner. Product Integrity Staff evaluated QAPs and NLPs produced during the period under investigation. Results of the review are presented in the table below:

Document Title	Document ID	Accession/ Batch Number
Organizational Description	Organizational Description Revision: 1 Effective Date: 04/01/96	MOV-960416-01

Quality Assurance Policy Statement	Policy Statement Revision: 1 Effective Date: 12/15/95	MOV-960119-03
M&O Organization	QAP Number: QAP-1-0 Revision: 4 Effective Date: 02/19/96	MOV-960215-02
Quality Assurance Surveillance **	QAP-2-5 Revision 5 Effective Date: 02/19/96	MOY-960223-21
Design Control Process **	QAP-3-0 Revision 4 Effective Date: 02/12/96	MOV-960423-01
Development of Technical Documents	QAP-3-5 Revision 6 Effective Date: 02/19/96	MOV-960304-02
Transmittal of Design Input	QAP-3-12 Revision 6 Effective Date: 10/30/95	MOV-951129-02
Cancellation Notice	QAP-3-13 Revision 3 Effective Date: 08/21/95	MOV-950929-02
Cancellation Notice	QAP-4-1 Revision 3 Effective Date: 12/11/95	MOV-960130-52
Preparation of M&O Quality Assurance Program Documents	QAP-5-1 Revision 5 Effective Date: 01/15/96	MOV-960103-03
Cancellation Notice	QAP-5-2 Revision: 3 Effective Date: 01/15/96	MOY-960102-09
Procurement Control Process	QAP-7-0 Revision 0 Effective Date: 12/11/95	MOV-960130-46
Procurement Planning	QAP-7-2 Revision 0 Effective Date: 12/11/95	MOV-960130-47
Cancellation Notice	QAP-7-1 Revision 3 Effective Date: 12/11/95	MOV-960130-53
Development of Procurement Requirements	QAP-7-3 Revision 0 Effective Date: 12/11/95	MOV-960130-48

Solicitation, Evaluation, and Award	QAP-7-4 Revision 0 Effective Date: 12/11/95	MOV-960130-49
Supplier Performance	QAP-7-5 Revision0 Effective Date: 12/11/95	MOV-960130-50
Acceptance of Procured Services	QAP-7-6Revision 0 Effective Date: 12/11/95	MOV-960130-51
Certification of Inspection Personnel **	QAP-10-1 Revision 1 Effective Date: 04/15/96	MOY-960410-14
Control of Measuring and Test Equipment and Calibration Standards	QAP-12-1 Revision 2 Effective Date: 01/02/96	MOL.19960314.02 85
Cancellation Notice **	QAP-16-1Revision 4 Effective Date: 11/15/95	MOL.19960429.06 03
Cancellation Notice **	QAP-16-2 Revision 3 Effective Date: 10/16/95	MOL.19960423.01 32
Electronic Imaging Operations **	QAP-17-3 Revision 2 Effective Date 02/12/96	MOV-96-429-01
To Be Verified (TBV) and To Be Determined (TBD) Monitoring	VLP-3-2 Revision 1 Effective Date: 02/05/96	MOV-960130-40
Specification Change Notices	VLP-3-4 Revision 1 Effective Date: 12/18/95	MOV-951212-05
Storage, Retrieval, and Retention of Inclusionary Records at the Vienna Long-Term Storage Facility **	VLP-17-9 Revision 1 Effective Date: 04/01/96	MOV- 19960801.0051
RAN Matrix Update to Meet 02/20/96 - QARD Rev. 5 **	NLP-3-8, Rev. 1	MOY 960419-01
Preparation of Changes for Engineering Drawings and Specifications	NLP-3-10, Rev. 7	MOY-960319-01
RAN Matrix Update to Meet 02/20/96 QARD Rev. 5	NLP-3-18, Rev. 4	MOY-951219-03

(Cancellation) "Closure of Review Comments on ESF Title I Design (Review Records)	NLP-3-19, Rev. 0	MOY-960304-22
(Cancellation) Development of Basis for Design Documents	NLP-3-20, Rev. 0	MOY-960312-04
Closure of Review comments on ESF Title I Design (Cancellation)	NLP-3-19, Rev. 0	MOY-960227-11
Support Engineering Calculations	NLP-3-27, Rev. 0	MOY-951214-09
Documentation of Title III Implementing Actions	NLP-3-29, Rev. 01	MOY-960312-10
Specifications	QAP-3-8, Rev. 6	MOY-960131-03
Design Analysis 01/31/96 -	QAP-3-9, Rev. 6	MOY-960131-04

**Recommendations**

Based on the extent of the deficiency found and analysis of all the contributing causes documented in the Root Cause Determination for YMQAD-96-042, classroom training should be required for all first line supervisors and above for records source responsibilities. The training should include information related to the different functions of Document Control and Records Processing, delegation of responsibility for administrative details of handling records turnover and subsequent follow up, and including records turnover as part of job planning and scheduling. Testing should be required to measure effectiveness of training regarding records source responsibilities. First Line Supervisors should identify those individuals in their organization who need classroom training regarding records source responsibilities.

**Personnel Contacted**

Alden Segrest  
 Jim Schmit  
 Judy Justice  
 David Barreres  
 Jack Bailey  
 Les Stallings  
 Tommy Touchstone  
 David VanBibber