



Department of Energy
Washington, DC 20585

MAR 11 1993

Mr. Joseph J. Holonich, Director
Repository Licensing & Quality Assurance
Project Directorate
Division of Nuclear Material Safety
and Safeguards
U.S. Nuclear Regulatory Commission
Washington, D.C. 20555

Subject: Status of OCRWM Headquarters and Yucca Mountain Site
Characterization Project Office Quality Assurance
Program Corrective Actions

Dear Mr. Holonich:

In accordance with a request from your staff during the last Quality Assurance bi-monthly meeting, I am enclosing the current Corrective Action Status Reports for corrective action activities in progress at both the DOE Headquarters and Yucca Mountain Sites. The Headquarters report has been recently updated to reflect the status of activities that have occurred within the week of February 15, 1992.

If you have any questions, please contact me or Donald Horton of the Office of Quality Assurance at (202) 586-6046 or (202) 586-8858, respectively.

Dwight E. Shelor
Associate Director for
Systems and Compliance
Office of Civilian Radioactive
Waste Management

Enclosures

cc:
D. Horton, RW-3
S. Zimmerman, State of Nevada

9303240179 930311
PDR WASTE PDR
WM-11

WM-11
102.6
NH03

YMP CAR/SDR STATUS REPORT FOR DECEMBER 1992

1. YMP CORRECTIVE ACTION REQUESTS, STANDARD DEFICIENCY REPORTS,
AND STOP WORK ORDER REQUEST/ACTIVITYA. CORRECTIVE ACTION REQUESTS

	<u>MONTH TO DATE</u>	<u>TOTAL TO DATE</u>
CARS ISSUED	8	192
CARS CLOSED	12	150
CARS OPEN		42

B. STANDARD DEFICIENCY REPORTS

	<u>MONTH TO DATE</u>	<u>MONTH TO DATE</u>
SDRs ISSUED	0	599
SDRs CLOSED	0	597
SDRs OPEN		2

C. STOP WORK ORDERS/REQUESTS

No activity

2. YMP CARs AND SDRs WITH OVERDUE ACTION

None

3. YMP CARs AND SDRs WITH ASSIGNMENTS DUE DURING JANUARY 1993

Note: Items with action by more than one organization are counted only once.

YMP	5	YM-92-027	Corrective Action due 01/31/93
		YM-93-004	Corrective Action due 01/30/93
		YM-93-011	Corrective Action due 01/30/93
		YM-93-016	Corrective Action due 01/29/93
		YM-93-020	Response due 01/06/93
SNL	5	YM-92-070	Corrective Action due 01/29/93
		YM-92-072	Corrective Action due 01/29/93
		YM-93-021	Response due 01/20/93
		YM-93-022	Response due 01/20/93
		YM-93-023	Response due 01/20/93
USGS	4	YM-92-060	Corrective Action due 01/04/93
		YM-93-012	Amended Response due 01/07/93
		YM-93-013	Amended Response due 01/07/93
		YM-93-014	Amended Response due 01/04/93
LANL	1	YM-93-018	Corrective Action due 01/15/93

YMQAD OPEN CORRECTIVE ACTION REQUEST STATUS REPORT

January 4, 1993

DEF'CY NUMBER	ADVERSE CONDITION	SEV	DATE ISSUED	RESPONSE DUE	RESPONSE RECEIVED	RESPONSE ACCEPTED	CORRECTIVE ACTION DESCRIPTION	DUE COMPLETE	FORECAST CLOSURE	DATE CLOSED	CURRENT STATUS
SDR 018	Calibration not traceable to NBS	2	08/21/87	09/21/87	09/25/87	09/22/87	Calibrate meters	11/23/92	12/07/92		Verification of USGS CA process QAD
SDR 596	QAPD Def.	2	10/19/90	11/16/90	11/28/90	12/10/90	Complete preparation of centralized QA document	07/01/93	07/16/93		CA in process by YMP
YM-91-005	No matrix for OCRWM procedures and QARD/QAP	3	11/09/90	11/29/90	12/04/90	12/07/90	Complete modifications identified in matrix review	12/31/92	01/14/93		Verification of QAD CA process QAR
YM-91-017	Records backlog	2	12/18/90	04/12/91	04/19/91	05/14/91	Query RIS for division of record backlog and prepare for dual storage	05/01/93	05/16/93		CA in process by TRW

FROM: DOE-YMQAD

TO:

703 276 9310

JAN 6, 1993 11:37AM #977 P.03

YMQAD OPEN CORRECTIVE ACTION REQUEST STATUS REPORT

DEF'CY NUMBER	ADVERSE CONDITION	SEV	DATE ISSUED	RESPONSE DUE	RESPONSE RECEIVED	RESPONSE ACCEPTED	CORRECTIVE ACTION DESCRIPTION	DUE COMPLETE	FORECAST CLOSURE	DATE CLOSED	CURRENT STATUS
YM-91-041	QAPP requirements are not consistently reflected in QPs	2	04/09/91	05/21/91	08/20/91	09/05/91	Revise QAPP matrix existing QPs, evaluate need for stop work on affected QPs, revise QP 2.5 & 4.5	05/30/93	06/14/93		CA in process by LANL
YM-91-056	Procedures issued w/o meeting requirements of QAPP	2	06/24/91	08/23/91	09/13/91	09/26/91	Revise QP 2.1 and QAPP	03/01/93	03/15/93		CA in process by LLNL
YM-91-074	Failure to revise SQAP	3	08/20/91	09/18/91	09/17/91	09/24/91	Revise USGS SQAP	03/01/93	03/15/93		CA in process by USGS
YM-91-075	SQAP requirement not included in QMP 3.03	3	08/20/91	09/18/91	09/17/91	09/25/91	Revise USGS SQAP and SQA procedure	03/01/93	03/15/93		CA in process by USGS
YM-91-076	QMP 3.03 does not address independence of personnel	2	08/20/91	09/18/91	09/17/91	09/26/91	Revise USGS SQAP	03/01/93	03/15/93		CA in process by USGS
YM-92-006	Conflict between Federal Register and QARD/QAPP	3	11/01/91	07/20/91	07/07/91	07/13/91	Provide notice to Federal Register	03/01/93	03/15/93		CA in process by OQA
YM-92-027	Study Plan does not reference the specific technical procedures used in the task		04/10/92	06/01/92	05/29/92	06/03/92	Renegotiate the LODA. Revise AP-1.10Q	01/31/93	02/15/93		CA in process by YMP

YMQAD OPEN CORRECTIVE ACTION REQUEST STATUS REPORT

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YM-92-058	Failure to review completed field and log notebooks		07/16/92	09/17/92	09/10/92	09/23/92	Revise TWS-QAS-QP-03.5	12/31/92	01/11/93		Verification of LANL CA schedul for 01/11/93
YM-92-060	Procurement package incomplete		08/05/92	09/03/92	09/02/92	09/29/92	Revise YMP-USGS-QMP-4.01 and YMP-USGS-QMP-7.01	01/04/93	01/18/93		CA in process USGS
YM-92-064	M&TE have been entered in the Master Status List without documented evidence of the calibration record		08/26/92	10/22/92	10/22/92	11/04/92	Review and revise QP-12.0 as necessary. Conduct training	01/29/93	02/12/93		CA in process LLNL
YM-92-065	M&TE not calibrated as recommended by manufacturer		08/26/92	10/22/92	10/22/92	11/05/92	Review and revise QP-12.0. Conduct training	01/29/93	02/12/93		CA in process LLNL
YM-92-069	Use of incorrect personnel		09/02/92	10/02/92	09/30/92	10/13/92	Increase in manpower for tracer injection	10/07/92	12/16/92	01/05/93	Verification of YMP CA satisfactory. Let being issued QAD

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YM-92-070	No DRC forms for ICNs to TPs		09/02/92	10/02/92	10/12/92	10/28/92	Revise QA implementing procedures	01/29/93	02/12/93		CA in process SNL
YM-92-072	Marked-up pages of document reviewed not available		09/02/92	10/02/92	09/30/92	10/06/92	Revise DOP 3-13	01/29/93	02/12/93		CA in process SNL
YM-92-073	Values or Thermal/Mech stratigraphy for borehole USW G-4 do not agree in RIB		09/09/92	10/29/92	12/15/92		Investigate AP 5.3Q for procedural clarity	12/15/92	12/31/92		CA in process YMP
YM-93-001	Technical Evaluations not performed as required for FCRs		10/13/92	12/29/92	12/23/92						Evaluation of YMP response in process QAD
YM-93-002	Drawings and specifications not submitted as required		10/13/92	12/29/92	12/23/92						Evaluation of YMP response in process QAD
YM-93-003	Scheduled resolution of data to be verified not delineated		10/13/92	12/29/92	12/23/92						Request for YMP Amended Response in process by QAD

FROM: DOE-YMQAD

TO:

703 276 9310

7/11/93 6:11:39AM #977 P.06

YMQAD OPEN CORRECTIVE ACTION REQUEST STATUS REPORT

DEF'CY NUMBER	ADVERSE CONDITION	SEV	DATE ISSUED	RESPONSE DUE	RESPONSE RECEIVED	RESPONSE ACCEPTED	CORRECTIVE ACTION DESCRIPTION	DUE COMPLETE	FORECAST CLOSURE	DATE CLOSED	CURRENT STATUS
YM-93-004	Illegible Records and Records Problems	SC	10/13/92	11/30/92	12/09/92	12/15/92	Revise AP-1.18Q Resubmit Job Package 92-12 to LRC	01/30/93	02/11/93		CA in process YMP
YM-93-005	Some procedures do not meet QPD requirements		10/21/92	11/18/92	11/23/92	12/04/92	Revise QPD. Develop procedure for resolving disputes. Develop procedure for identification and traceability of data.	02/28/93	03/15/93		CA in process by EG&G
YM-93-006	Changes to procurement documents not reviewed by same organizations		10/21/92	11/18/92	11/23/92	12/04/92	Revise Y100-072.A	02/28/93	03/15/93		CA in process by EG&G
YM-93-007	DRR and DRS forms not used for review of technical procedures		10/21/92	11/18/92	11/23/92	12/04/92	Revise Y100-051.A	02/28/93	03/15/92		CA in process by EG&G
YM-93-008	QAO not performing document distribution activities for Y300 procedures		10/21/92	11/18/92	11/23/92	12/04/92	Revise Y100-061.A	02/28/92	03/15/92		CA in process by EG&G

YMQAD OPEN CORRECTIVE ACTION REQUEST STATUS REPORT

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YM-93-011	Remediation Program does not address all YMP requirements		10/28/92	11/27/92	11/19/92	12/07/92	Evaluate and revise AP-5.21 and AP-5.32	01/30/93	02/15/93		CA in process. YMP.
YM-93-012	No QA office working vendor's list and no NCR generated as required		11/04/92	01/07/93							Amended Response in process by USGS
YM-93-013	Services were provided by vendor after removal from approved vendor's list		11/04/92	01/07/93							Amended Response in process by USGS
YM-93-014	Software QAPP requirements not carried down to implementing procedures		11/04/92	01/04/92							Amended Response in process by USGS
YM-93-015	Acquired data transmitted without documentation of IMOU or TDIF		11/04/92	12/04/92	12/04/92						Evaluation of USGS response in process by QAD
YM-93-016	FCR evaluations not performed		11/04/92	12/04/92	12/04/92	12/09/92	Revise Change Evaluation Form. Provide training	01/29/93	02/12/93		CA in process YMP

YMQAD OPEN CORRECTIVE ACTION REQUEST STATUS REPORT

FROM: DOE-YMQAD

TO:

703 276 9310

JAN 6, 1993 11:41AM #977 P.09

DEF'CY NUMBER	ADVERSE CONDITION	S E V	DATE ISSUED	RESPONSE DUE	RESPONSE RECEIVED	RESPONSE ACCEPTED	CORRECTIVE ACTION DESCRIPTION	DUE COMPLETE	FORECAST CLOSURE	DATE CLOSED	CURRENT STATUS
YM-93-017	LLNL Internal Grading Report identifies activities non-quality per SIP should be quality affecting		11/04/92	12/03/92	12/29/92						Evaluation of LLNL response in process by QAD
YM-93-018	Configuration Management Specialist did not follow procedures for handling of audit discrepancies		11/16/92	12/16/92	12/14/92	12/30/92	Review all in-process Baseline Submission Summaries	01/15/93	01/29/93		CA in process b LANL
YM-93-019	Configuration Management Specialist acting Change Control authority has not been delegated this authority		11/16/92	12/16/92	12/14/92	12/30/92	Designate a Change Control Authority	12/11/92			CA in process b LANL
YM-93-020	YMPO Personnel not trained. Maintenance not maintained as required	SC	12/11/92	01/06/93							Response in process by YMP
YM-93-021	Document holders not keeping Controlled Documents current.		12/17/92	01/20/93							Response in process by SNL

YMQAD OPEN CORRECTIVE ACTION REQUEST STATUS REPORT

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YM-93-022	Failure to perform Management Assessment during required time frame.		12/17/92	01/20/93							Respons in proc by SNL
YM-93-023	Failure to evaluate NER suppliers of calibration services		12/17/92	01/20/93							Respons in proc by SNL
YM-93-024	Inadequate follow-up of corrective action		12/31/92	01/29/93							Respons in proc by PNL
YM-93-025	Failure to apply appropriate calibration status stickers		12/31/92	01/29/93							Respons in proc by USGS
YM-93-026	Failure to monitor concentration of tracer on vacuum side of boreholes		12/31/92	01/29/93							Respons in proc by USGS
YM-93-027	Failure to implement procedures for Control of Tracers, Fluids, and Materials	SC	12/31/92	01/29/93							Respons in proc by YMP

FEBRUARY 19, 1993

ATTACHMENT II
CORRECTIVE ACTION REQUEST STATUS

Page 1

CAR NUMBER	SIG	RESPONSIBLE ORGANIZATION	QA REP.	ADVERSE CONDITION	CORRECTIVE ACTION DESCRIPTION	STATUS & NEXT ACTION	ACTION DATE
HQ-92-006	-	ORNL Collier	Bearham	No evidence of verification of personnel qualifications	Complete & document verification of identified staff	12-F	03/12/93
HQ-92-012	-	YMPO Gertz	Rodgers	Inadequate flowdown of WMSR requirements to Project technical baseline documents & inadequate technical reviews	1) Document rationale for disposition of requirements 2) Prepare TDPF for MGDS Design Requirements Docs and ensure training of preparers 3) Submit completed training records	15-G	01/15/93
HQ-92-015	-	RW-3 Horton	Weber	Incomplete personnel qualification records	Complete personnel qualification records	8-F	02/17/93
HQ-92-017	SIG	RW-20 Broccum RW-30 Roberts RW-40 Milner	Marchand	Inadequate management of QA records by record originators	Review status of QA record packages, assign record package responsibilities and attend training.	8-F	02/26/93 04/30/93 03/01/93
HQ-92-019	-	EIA Mayes	Brown	QARD requirements not incorporated into the EIA QAPD	Revise Program Work Plan (PWP) for EIA to work as direct support	15-G	02/26/93
HQ-92-020	SIG	EIA Mayes	Brown	No QA program implementing procedures issued	1) Develop QA procedures for Supplement I 2) Develop QARD requirements matrix 3) Conduct "lessons learned" session	14-F	01/30/93
HQ-92-021	-	EIA Mayes	Brown	EIA's organization does not include independent QA manager	1) Revise PWP 2) Establish & fill QA Coordinator position	10-E	02/19/93
HQ-92-022	SIG	EIA Mayes	Brown	No SQAP. Inadequate QA program controls on RW-859 Data Collection System process	1) Complete SQAP for Form RW-859 reporting system 2) Conduct "lessons learned" session	8-F	03/17/93
HQ-92-023	SIG	EIA Mayes	Brown	No SQAP. Inadequate QA program controls for International Nuclear Model (INM)	1) Complete SQAP for Intl Nuclear Model (INM) 2) Conduct "lessons learned" session	4-C	02/26/93
HQ-92-024	-	EIA Mayes	Brown	QA requirements not included in procurement documents. Inadequate procurement document reviews	Modify procurement documents for OCRWM requirements	15-G	02/26/93
HQ-92-025	SIG	EIA Mayes	Brown	Inadequate training program	1) Identify personnel working to QARD 2) Develop I&T matrices 3) Complete training 4) Conduct "lessons learned" session	14-F	01/29/93
HQ-92-026	SIG	EIA Mayes	Brown	No position descriptions established. No verification of minimum education and experience	1) Develop position descriptions 2) Verify education and experience 3) Conduct "lessons learned" session	14-F	01/30/93
HQ-92-027	-	EIA Mayes	Brown	QA records not specified in EIA documents. Other records management deficiencies	1) Place INM records in temporary storage 2) Develop QA procedures to specify required records	14-F	01/30/93

Status changes from previous week are shown in italics.

STATUS LEGEND: 1- CAR number assigned, 2- CAR issued, 3- Response due, 4- Extension requested, 5- Extension approved, 6-Response overdue, 7- Response received, 8- Response accepted, 9- Response rejected, 10- Amended response due, 11- Amended response received, 12- Amended response accepted, 13- Corrective action due, 14- Corrective action overdue, 15- Corrective action complete, 16- Corrective action verified acceptable, 17- Corrective action unsatisfactory, 18- CAR closed.

ACTION LEGEND: A-Respond to CAR, B-Request extension, C- Evaluate extension request, D- Evaluate response, E- Submit amended response, F- Complete corrective action, G- Verify corrective action, H- Document unsatisfactory verification, J- Respond to unsatisfactory verification, K- Close CAR.

FEBRUARY 19, 1993

ATTACHMENT II
CORRECTIVE ACTION REQUEST STATUS

Page 2

CAR NUMBER	SIG	RESPONSIBLE ORGANIZATION	QA REP.	ADVERSE CONDITION	CORRECTIVE ACTION DESCRIPTION	STATUS & NEXT ACTION	ACTION DATE
HQ-82-028	-	EIA Mayes	Brown	No audit program established or implemented	Revise PWP for EIA to work as direct support	15-G	02/26/93
HQ-82-029	-	EIA Mayes	Brown	Document control deficiencies	Develop QA procedures to identify controlled documents	14-F	01/30/93
HQ-82-030	-	EIA Mayes	Brown	No established methods to identify, document and correct conditions adverse to quality	Revise PWP for EIA to work as direct support	15-G	02/26/93
HQ-82-031	-	EIA Mayes	Brown	No reporting of QA program management information to EIA upper management and OCFWM	1) Provide QA program status to OQA as requested 2) Provide bimonthly status reports to OCFWM	14-F	01/29/93
HQ-83-001	-	RW-22 Brocoum	Bearham	Individual performing QAAP 5.1 review was not trained		2-A	02/22/93
HQ-83-002	-	RW-22 Brocoum	Bearham	QAP and QAM Manuals not current		2-A	02/22/93
HQ-83-003	-	RW-3 Clark	Greene	Lead Auditor certification record packages do not contain exam contents		2-A	02/22/93
HQ-83-004	-	RW-3 Clark	Horton	Audit schedules not provided to TPO and QA Mgrs. and surveillance schedule not reviewed by Director, OQA		2-A	02/22/93
HQ-83-005	-	RW-30 Roberts	Horseman	RW-30 activities regarding the QRPS not identified in QACD		2-A	02/22/93
HQ-83-006	SIG	RW-3.2 Spence	Horseman	Inadequate investigative actions for significant CAR conditions and inadequate CAR evaluations and responses		2-A	02/22/93
HQ-83-007	-	RW-30 Roberts	Wagner	List of employees performing assignments against the QARD was incomplete		2-A	02/22/93
HQ-83-008	-	RW-30 Roberts	Wagner	I&T Records at the QRC did not contain third quarter updates		2-A	02/22/93
HQ-83-009	SIG	EM-343 Picha	Bearham	Adequacy of TRG process indeterminate		2-A	03/15/93
HQ-83-010	SIG	EM-343 Conway	Lentz	EM Audits/Surve. Inadequate		2-A	03/15/93
HQ-83-011	SIG	EM-343 Picha	Swift	Inadequate Waste Form Plan and Process		2-A	03/15/93
HQ-83-012	-	EM-343 Conway	George	Personnel performing ORR not trained		2-A	03/15/93

Status changes from previous week are shown in *italics*.

STATUS LEGEND: 1- CAR number assigned, 2- CAR issued, 3- Response due, 4- Extension requested, 5- Extension approved, 6- Response overdue, 7- Response received, 8- Response accepted, 9- Response rejected, 10- Amended response due, 11- Amended response received, 12- Amended response accepted, 13- Corrective action due, 14- Corrective action overdue, 15- Corrective action complete, 16- Corrective action verified acceptable, 17- Corrective action unsatisfactory, 18- CAR closed.

ACTION LEGEND: A-Respond to CAR, B-Request extension, C- Evaluate extension request, D- Evaluate response, E- Submit amended response, F- Complete corrective action, G- Verify corrective action, H- Document unsatisfactory verification, J- Respond to unsatisfactory verification, K- Close CAR.