



## Department of Energy

Nevada Operations Office  
P. O. Box 98518  
Las Vegas, NV 89193-8518

WBS #1.2.9.3  
QA

SEP 28 1989

Carl P. Gertz, Project Manager, YMP, NV

ISSUANCE OF STANDARD DEFICIENCY REPORTS (SDRs) 442 AND 443, REVISION 0,  
RESULTING FROM YUCCA MOUNTAIN PROJECT OFFICE (PROJECT OFFICE) QUALITY  
ASSURANCE (QA) AUDIT 89-03 OF SANDIA NATIONAL LABORATORIES (SNL)  
(NN1-1989-3649)

Enclosed are SDRs 442 and 443, Revision 0, generated as a result of Project  
Office QA Audit 89-03 of SNL.

Please identify the corrective actions to be taken and implemented to correct  
the deficiencies by completing blocks 14 through 18, as appropriate, on each  
SDR.

Responses to the SDRs are due within 20 working days of the date of this  
letter. Any extension to these due dates must be requested in writing with  
appropriate justification prior to the due date. Please send the original of  
your responses to Juanita Brogan, Science Applications International  
Corporation, 101 Convention Center Drive, Las Vegas, Nevada 89109, and a copy  
to Ralph Gray, U.S. Department of Energy, P. O. Box 98518, Las Vegas, Nevada  
89193.

Your cooperation and timely response is appreciated. If you have any  
questions, please contact James Blaylock of my staff at 794-7913, or  
Stephen R. Dana of Science Applications International Corporation at 794-7176.

Edwin L. Wilmot, Acting Director  
Quality Assurance Division  
Yucca Mountain Project Office

YMP:JB-6067

Enclosure:  
SDRs 442 and 443, Revision 0

8910030134 890928  
PDR WASTE  
WM-11 PDC

FULL TEXT ASCII SCAN

Add: JKennedy

NH03  
102.7  
WM-11

**YMPO STANDARD DEFICIENCY REPORT**

N-QA-038  
4/89

Completed by Originating QA Organization	1 Date 9/15/89		2 Severity Level <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input checked="" type="checkbox"/> 3		Page 1 of 2	
	3 Discovered During AUDIT 89-3 (SNL)		3a Identified By S. DANA, J. HEANEY		4 SDR No. 442 Rev. 0	
	5 Organization YMP		6 Person(s) Contacted T. HUNTER (SNL)		7 Response Due Date is 20 Working Days from Date of Transmittal	
	8 Requirement (Audit Checklist Reference, if Applicable) (CL# n/a) YMP QA Plan NNWSI/88-9, Rev. 2, Sect. 3, para. 1.3.2, states in part, "The WMPO Project Quality Manager and the appropriate WMPO Branch Chief shall review and approve the scientific investigation planning document prior					
	9 Deficiency SNL work plans were submitted to the Project Office for approval (ref. SNL ltr. LES:6315, dtd. 2/7/89, Stiegler to Wilmot, (attached)). The work plans were disapproved by the Project Office (ref. ltr. YMP:ALB-2629, dtd. 4/10/89,					
Completed by Organization in Block 5	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input type="checkbox"/> Investigative <input type="checkbox"/> Corrective 1. Train appropriate personnel to the Project requirements cited in Block 8.					
	11 QAE/Lead Auditor/Date <i>S. Dana 9/22/89</i>		12 Division Manager/Date <i>Robert Heaney 9-22-89</i>		13 Project Quality Mgr./Date <i>James Blaylock 9/24/89</i>	
	14 Remedial/Investigative Action(s)					
	15 Effective Date _____					
	16 Cause of the Condition & Corrective Action to Prevent Recurrence					
Comp. by Org. QA Org.	17 Effective Date _____					
	18 Signature/Date					
	19 Response Accepted	QAE/Lead Auditor/Date	Division Manager/Date	Project Quality Mgr./Date		
	20 Corrective Action Verif. Satisfactory	QAE/Lead Auditor/Date	Division Manager/Date	Project Quality Mgr./Date		
	21 Remarks					
22 QA CLOSURE						
QAE/Lead Auditor/Date		Division Manager/Date		PQM/Date		

ENCLOSURE

YMPO STANDARD DEFICIENCY REPORT  
CONTINUATION SHEET

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12/88

SDR No. 442

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8 Requirement ( continued )  
to implementation."

Para 1.7, states in part, "All changes in scientific investigation planning documents shall go through the same review and approval process as specified in para. 1.3 of this section."

9 Deficiency ( continued )

Gertz to Hunter, (attached)), however, the letter directed SNL to proceed with work to the unapproved work plans.

It should be noted that during YMP audit SNL 89-3, no evidence was found that SNL was proceeding with QAL I/II activities using the unapproved work plans referenced in the Gertz to Hunter letter.

# YMP STANDARD DEFICIENCY REPORT

N-QA-038  
4/89

<b>Completed by Originating QA Organization</b>	1 Date 9/15/89		2 Severity Level <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2 <input type="checkbox"/> 3		Page 1 of 2	
	3 Discovered During AUDIT 89-3 (SNL)		3a Identified By M. MITCHELL		4 SDR No. 443 Rev. 0	
	5 Organization YMP		6 Person(s) Contacted E. WILMOT, R. WAVRIK		7 Response Due Date is 20 Working Days from Date of Transmittal	
	8 Requirement (Audit Checklist Reference, if Applicable) (CL# T-1, T-2, T-6) 1) Project QAP, 88-9, Rev. 2, Sect. VIII, part C, para. 1.1.2 states " Where data are the results of the efforts of more than one organization, procedures					
<b>Completed by Originating QA Organization</b>	9 Deficiency Contrary to the above requirements:  1. The YMP (Project Office) has not established procedures for the control					
	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective 1. Investigate to determine the extent of this deficiency in other activities.					
	11 QAE/Lead Auditor/Date <i>James 9/22/89</i>		12 Division Manager/Date <i>Kab Hedges 9-22-89</i>		13 Project Quality Mgr./Date <i>James Blayford 9/22/89</i>	
<b>Completed by Organization in Block 5</b>	14 Remedial/Investigative Action(s)				15 Effective Date _____	
	16 Cause of the Condition & Corrective Action to Prevent Recurrence				17 Effective Date _____	
	18 Signature/Date					
<b>Comp. by Orig. QA Org.</b>	19 Response Accepted		QAE/Lead Auditor/Date		Division Manager/Date	
	20 Corrective Action Verif. Satisfactory		QAE/Lead Auditor/Date		Division Manager/Date	
	21 Remarks					
	22 QA CLOSURE		QAE/Lead Auditor/Date		Division Manager/Date	
						PQM/Date

YML STANDARD DEFICIENCY REPORT  
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8 Requirement ( continued )

describing the organizational responsibilities for that data shall be developed and implemented, and 2) sect. VIII para. 2.3.2 states "Documentation of design analysis shall include in part a listing of applicable references, results of literature searches or other background data, identification of assumptions and indication of those which require verification as the design proceeds." In sect. III, para. 1.4.2 states in part, "... for scientific investigations that documentation of interpretation analysis shall include identification of assumptions."

9 Deficiency ( continued )

of the Quality Level II activity associated with the generation of the document, SAND 88-3073, "Waste Package Emplacement Orientation Recommendation". This document was prepared at the direction of the Project Office by SNL and project organization staff using data from various sources.

2. The activity records and document (SAND 88-3073) did not identify and document assumptions used in the analysis, or indicate the quality level of the data used in the analysis.

10 Recommended Actions ( continued )


2. Determine the impact of this condition on this and other activities that might include interpretation of analysis functions.
3. Determine the need for the Orientation Recommendation document (SAND 88-3073) and determine a strategy for replacing the analysis completed if a document is needed at this time.
4. Provide required procedural controls to ensure that reoccurrence does not take place and that assumptions are documented in design and scientific investigation activities.

Carl P. Gertz

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SEP 28 1989

cc w/encl:

Ralph Stein, HQ (RW-30) FORS  
Dwight Shelor, HQ (RW-3) FORS  
J. J. Brogan, SAIC, Las Vegas, NV, 517/T-12  
L. G. Scherr, SAIC, Las Vegas, NV, 517/T-06  
S. R. Dana, SAIC, Las Vegas, NV, 517/T-06  
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S. W. Zimmerman, NWPO, Carson City, NV  
J. E. Kennedy, NRC, Washington, DC 

KENNEDY  
NRC

cc w/o encl:

G. P. Fehr, SAIC, Las Vegas, NV, 517/T-12  
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