



Department of Energy

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

APR 12 1988

Joseph C. Calovini
Technical Project Officer
for NNWSI
Holmes & Narver, Inc.
101 Convention Center Drive
Suite 860
Las Vegas, NV 89109

WASTE MANAGEMENT PROJECT OFFICE (WMPO) QUALITY ASSURANCE (QA) STANDARD DEFICIENCY REPORTS (SDRS) RESULTING FROM AUDIT 88-2 OF HOLMES & NARVER (H&N) SUPPORT OF THE NEVADA NUCLEAR WASTE STORAGE INVESTIGATIONS (NNWSI) PROJECT (WMPO ACTION ITEM #88-1498)

Enclosed are 12 SDRs, Nos. 117-125 and 127-129, which were generated during the course of WMPO QA Audit 88-2 of the H&N NNWSI Project program plan and technical activities on March 28 through April 1, 1988. SDR No. 126 was reevaluated by the WMPO and will now be issued as an observation rather than an SDR. The observation will be included as part of the forthcoming audit report. Please note that you are required to provide responses to each SDR by completing Blocks 14 through 18 as appropriate on the first page of each SDR. (Be advised that the audit checklist references provided on each SDR are for WMPO internal use and should have no bearing on your ability to respond to the cited deficiencies.)

A copy of your response is due back to this office 20 working days from the date of this letter. You are asked to concurrently send the original of each SDR response to Nita Brogan of Science Applications International Corporation, Las Vegas, Nevada.

If you have any questions, please contact Walt R. Kazor at 295-8748.

James Blaylock

James Blaylock
Project Quality Manager
Waste Management Project Office

WMPO:JB-1799

Enclosure:
SDR Nos. 117-125 and 127-129

102.7
WM-11
NH03

8804190349 880412
PDR WASTE
WM-11 ICD

APR 12 1988

Joseph C. Calovini

-2-

cc w/encl:

V. J. Cassella, HQ (RW-222) FORS
Ralph Stein, HQ (RW-23) FORS
W. R. Marchand, DOE/HQ, Weston
A. E. Gurrola, H&N, Las Vegas, NV
Richard Ivy, H&N, Las Vegas, NV
C. O. Wright, H&N, Las Vegas, NV
S. H. Klein, SAIC, Las Vegas, NV
O. D. Smith, SAIC, Las Vegas, NV
J. W. Estella, SAIC, Las Vegas, NV
W. R. Kazor, SAIC, Las Vegas, NV
R. H. Klemens, SAIC, Las Vegas, NV
Gerard Heaney, SAIC, Las Vegas, NV
F. J. Ruth, SAIC, Las Vegas, NV
P. J. Karnoski, SAIC, Las Vegas, NV
J. J. Brogan, SAIC, Las Vegas, NV
B. A. Wozniak, SAIC, Las Vegas, NV
P. T. Prestholt, NRC, Las Vegas, NV
W. L. Belke, NRC, Washington, DC
J. J. Holonich, NRC, Washington, DC
R. W. Gray, MED, NV
V. F. Witherill, NTSO, NV
A. R. Veloso, NTSO, NV
J. R. Rinaldi, QAD, NV
C. P. Gertz, WMPO, NV
M. B. Blanchard, WMPO, NV
W. R. Dixon, WMPO, NV
M. P. Kunich, WMPO, NV
A. L. Baca, WMPO, NV
R. E. Monks, WMPO, NV

WMPO STANDARD DEFICIENCY REPORT

N-QA-038
3/87

1525ano
 Completed by Organization
 Completed by Organization in Block 5
 Comp. by Orig. QA Org.

1 Date 4/1/88	2 Severity Level <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input checked="" type="checkbox"/> 3		Page 1 of 2
3a Discovered During WMPO Audit 88-2	3b Identified By F. J. Ruth	3c Branch Chief Concurrence Date N/A	4 SDR No. 117 Rev. 0
5 Organization Holmes & Narver	6 Person(s) Contacted Carl Wright/Carolyn Aiello		7 Response Due Date is 20 Working Days from Date of Transmittal
8 Requirement (Audit Checklist Reference, if Applicable) Audit Item No. 1a-3, Page 2 of 18 NVO-196-17, Rev. 5, Section 11 Quality Assurance Program, Subparagraph 5.1 Establishment of Requirements "The requirements shall establish position descriptions that set forth minimum personnel qualifications (cont'd)			
9 Deficiency 1) There are no position descriptions for personnel performing union surveying activities; 2) The following position descriptions do not specify what the minimum education requirements are A) Technician I, II, III B) Principal Technician C) Senior Technician D) Technician Aide E) Inspectors I, II, III, (cont'd)			
10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input type="checkbox"/> Investigative <input type="checkbox"/> Corrective Review all position descriptions/job description and identify the education required for that position. Review all position descriptions/job descriptions and establish what the equivalency will be to a degree. (cont'd)			
11 QAE/Lead Auditor Date <i>WRK</i> 4/5/88	12 Branch Manager <i>[Signature]</i>	Date 4/5/88	13 Project Quality Mgr. Date <i>[Signature]</i> 4/6/88
14 Remedial/Investigative Action(s)		15 Effective Date _____	
16 Cause of the Condition & Corrective Action to Prevent Recurrence		17 Effective Date _____	
18 Signature/Date			
19 Response <input type="checkbox"/> Accept <input type="checkbox"/> Amended <input type="checkbox"/> Reject <input type="checkbox"/> Response	QAE/Lead Auditor/Date	Branch Manager/Date	
20 Amended Response <input type="checkbox"/> Accept <input type="checkbox"/> Reject	QAE/Lead Auditor/Date	Branch Manager/Date	
21 Verifi- cation <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory	QAE/Lead Auditor/Date	Branch Manager/Date	
22 Remarks			
23 QA CLOSURE	QAE/Lead Auditor/Date	Branch Manager/Date	PQM/Date

ENCLOSURE



WMP STANDARD DEFICIENCY REPORT
CONTINUATION SHEET

N-QA-038
10/86

SDR No. 117

Rev. 0

Page 2 of 2

Block 8 Requirement (cont'd)

and provide for appropriate indoctrination or training or both, prior to initiation of activities that affect quality.

- 2) NVO-196-17, Rev. 5, Paragraph 5.1.1 Position Description. "Minimum education and experience requirements shall be established and documented in position descriptions for each position involved in the performance of activities affecting quality."
- 3) H&N, Inc. QAPP, Subject Quality Assurance Program, Section 2, Paragraph IIID.1 "Position Descriptions shall establish minimum personnel qualifications, including education and experience."

Block 9 Deficiency (cont'd)

F) Principal Inspector

- 3) Several position descriptions state the minimum education requirements or equivalent but do not spell out what the equivalency might be if there is no degree.

Block 10 Recommended Action(s) (cont'd)

Prepare position descriptions/job descriptions for individuals performing surveys.

WMPO STANDARD DEFICIENCY REPORT

N-QA-038
3/87

1234567891011121314151617181920212223
 Completed by Originating QA Organization
 Completed by Organization in Block 5
 Comp. by Orig. QA Org.

1 Date	4/1/88	2 Severity Level	<input type="checkbox"/> 1	<input checked="" type="checkbox"/> 2	<input type="checkbox"/> 3	Page	1	of	2
3 Discovered During	3a Identified By	3b Branch Chief	Concurrence Date		4 SDR No.		Rev.		
WMPO Audit 88-2	G. Heaney	N/A			118		0		
5 Organization		6 Person(s) Contacted			7 Response Due Date is				
Holmes & Narver		R. Sabol			20 Working Days from Date of Transmittal				
8 Requirement (Audit Checklist Reference, if Applicable) Holmes & Narver NNWSI Procedure NNWSI-001, Rev. 0 states: 1) Para. 5.2.3 - "The initial issue of a procedure shall be 'Rev. 0' with the appropriate date of approval and effective date. (cont'd)									
9 Deficiency Contrary to the above requirements: 1) Effective dates are not listed on the following H&N NNWSI procedures: Table of contents, Rev. 15, NNWSI-004, Rev. 1, NNWSI-005, Rev. 0, NNWSI-011, Rev. 0, and NNWSI-002, Rev. 0, ICN No. 001. (cont'd)									
10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective									
1) Correct the deficiencies noted in Block 9.									
2) Reinstruct personnel to procedural requirements. Provide objective evidence with response to the SDR.									
11 QAE/Lead Auditor	Date	12 Branch Manager	Date	13 Project Quality Mgr.	Date				
<i>[Signature]</i>	4/1/88	<i>[Signature]</i>	4/1/88	<i>[Signature]</i>	4/1/88				
14 Remedial/Investigative Action(s)									
15 Effective Date _____									
16 Cause of the Condition & Corrective Action to Prevent Recurrence									
17 Effective Date _____									
18 Signature/Date									
19 Response		<input type="checkbox"/> Accept	<input type="checkbox"/> Amended	QAE/Lead Auditor/Date		Branch Manager/Date			
		<input type="checkbox"/> Reject	Response						
20 Amended Response		<input type="checkbox"/> Accept	QAE/Lead Auditor/Date		Branch Manager/Date				
		<input type="checkbox"/> Reject							
21 Verifi- cation		<input type="checkbox"/> Satisfactory	QAE/Lead Auditor/Date		Branch Manager/Date				
		<input type="checkbox"/> Unsatisfactory							
22 Remarks									
23 QA CLOSURE		QAE/Lead Auditor/Date		Branch Manager/Date		PGM/Date			

ENCLOSURE



WMP~~OG~~ STANDARD DEFICIENCY REPORT
CONTINUATION SHEET

N-QA-038
10/86

SDR No. 118

Rev. 0

Page 2 of 2

- 2) Para. 5.5.1.1 - "All revised words, sentences, and paragraphs shall be noted by a vertical bar in the right hand margin adjacent to the change with the exception of correction of typographical errors." (Refer to Audit Checklist Item No. 1-14)

Block 9 Deficiency (cont'd)

- 2) NNWSI-004, Rev. 1 and NNWSI-008, Rev. 1 were revised and distributed without vertical bars in the right hand margin denoting changes. The procedures do not indicate that the revisions were complete rewrites.

Note: Procedure NNWSI-029 does not indicate the procedure number on pages 2, 3, 4, and 5.

WMPO STANDARD DEFICIENCY REPORT

N-QA-038
3/87

32300
 Completed by Originating QA Organization
 Completed by Organization in Block 5
 Comp. by Orig. QA Org.

1 Date <u>4/1/88</u>		2 Severity Level <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2 <input type="checkbox"/> 3		Page <u>1</u> of <u>2</u>	
3 Discovered During <u>WMPO Audit 88-2</u>		3a Identified By <u>P. Karnoski G. Heaney</u>		3b Branch Chief Concurrence Date <u>N/A</u>	
5 Organization <u>Holmes & Narver</u>		6 Person(s) Contacted <u>C. Wright, R. Schreiner, L. O'Laughlin</u>		4 SDR No. <u>119</u> Rev. <u>0</u>	
7 Response Due Date is <u>20 Working Days from Date of Transmittal</u>					
8 Requirement (Audit Checklist Reference, if Applicable) <u>H&N Procedure NNWSI-007 "Work Initiation, Criteria Gathering and Reporting", Rev. 0 paragraph 6.2.3.3 states in part: "QA shall review the Work Initiation package to ensure that the appropriate documents were prepared, reviewed, approved, or accepted in accordance (cont'd)</u>					
9 Deficiency <u>Contrary to the above requirement, the QA review is not being performed. Examples of discrepancies observed during the audit that emphasize the need for this review are:</u> <p style="text-align: right;">(cont'd)</p>					
10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective					
1) <u>Revise the work initiation forms to indicate appropriate references and quality assignment levels.</u> <p style="text-align: right;">(cont'd)</p>					
11 QAE/Lead Auditor Date <u>8/1/88</u>		12 Branch Manager <u>[Signature]</u>		13 Project Quality Mgr. Date <u>Royce E. Moss 4/6/88</u>	
14 Remedial/Investigative Action(s) <p style="text-align: right;">15 Effective Date _____</p>					
16 Cause of the Condition & Corrective Action to Prevent Recurrence <p style="text-align: right;">17 Effective Date _____</p>					
18 Signature/Date					
19 Response <input type="checkbox"/> Accept <input type="checkbox"/> Amended Response		QAE/Lead Auditor/Date		Branch Manager/Date	
<input type="checkbox"/> Reject					
20 Amended Response <input type="checkbox"/> Accept <input type="checkbox"/> Reject		QAE/Lead Auditor/Date		Branch Manager/Date	
21 Veri- fication <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory		QAE/Lead Auditor/Date		Branch Manager/Date	
22 Remarks					
23 QA CLOSURE		QAE/Lead Auditor/Date		Branch Manager/Date	
				PQM/Date	

ENCLOSURE



WM STANDARD DEFICIENCY REPORT
CONTINUATION SHEET

N-QA-038
10/86

SDR No.

119

Rev. 0

Page 2

of 2

Block 8 Requirement (cont'd)

with documented procedures and QA requirements. If all documents were processed correctly they shall annotate their acceptance on the Work Initiation Form." (Refer to Audit Checklist Item No. 1-53, 1-54, 1-57, 1-58)

Block 9 Deficiency (cont'd)

- 1) Work initiation forms for the ESF Utility Power System, ESF UPS Power System and the ESF Standby Power System do not reference the NNWSI/ESF Title 1 "Scope and Planning Basis Document", Rev. 2, which was used as the source of criteria in determining the quality level assignment of the work task.
- 2) The work initiation 87-021, Rev. 0, for "Aerial Mapping Effort in Support of the NNWSI Project" indicates the QA level to be N/A. However, the task for which the work was performed is a Quality Level I activity (refer to Los Alamos National Laboratory Scientific Investigation Plan "Tectonics and Volcanism", No. 86/2.3.1.-TV, Rev. 0, and its associated Quality Level Assignment Sheet).

Block 10 Recommended Action(s) (cont'd)

- 2) Revise the work Initiation Form to include a QA signature block.
- 3) Reinstruct personnel to procedural requirements. Provide objective evidence with response to the SDR.



WMD STANDARD DEFICIENCY REPORT
CONTINUATION SHEET

N-QA-038
10/86

SDR No. 120

Rev. 0

Page 2 of 2

Block 8 Requirement (cont'd)

the assignment of responsibility and the establishment of procedures among and within responsible design organizations for the review, approval, release, distribution, and revision of documents involving design interfaces." (Refer to Audit Checklist Item No. 3-1D, 4-1D)

Block 9 Deficiency (cont'd)

Additionally, the H&N response to WMPO Audit 87-2, Observation No. 3 committed to revising procedure NNWSI-014 "Design Verification", Rev. 0, to include a section on modeling. At the time of the audit, this action was not complete.

Block 10 Recommended Action(s) (cont'd)

activities.

WMPO STANDARD DEFICIENCY REPORT

N-QA-038
3/87

Completed by Originating QA Organization

1 Date 4/1/88 2 Severity Level 1 2 3 Page 1 of 1

3a Discovered During WMPO Audit 88-2 3b Identified By R. Klemens 3c Branch Chief Concurrency Date N/A 4 SDR No. 121 Rev. 0

5 Organization Holmes & Narver 6 Person(s) Contacted J. Calovini 7 Response Due Date is 20 Working Days from Date of Transmittal

8 Requirement (Audit Checklist Reference, if Applicable) NNWSI-001, Rev. 0, Para. 5.3.5; The TPO shall ensure that procedures are reviewed annually for content, clarity, and applicability. The annual review of procedures shall be documented via an ROI or memo to the Chief, QA. (Refer to Audit Checklist Item No. 1-5)

9 Deficiency
The annual procedure review required by Para. 5.3.5 has not been done by H&N.

10 Recommended Action(s): Remedial Investigative Corrective
Establish why procedures review has not been done. Perform review.

Aprvl.

11 QAE/Lead Auditor Date 4/4/88 12 Branch Manager Date 4/5/88 13 Project Quality Mgr. Date 4/5/88

Completed by Organization in Block 5

14 Remedial/Investigative Action(s) _____ 15 Effective Date _____

16 Cause of the Condition & Corrective Action to Prevent Recurrence _____ 17 Effective Date _____

18 Signature/Date _____

Comp. by Orig. QA Org.

19 Response Accept Amended Response QAE/Lead Auditor/Date Branch Manager/Date

20 Amended Response Accept Reject QAE/Lead Auditor/Date Branch Manager/Date

21 Verifi- cation Satisfactory Unsatisfactory QAE/Lead Auditor/Date Branch Manager/Date

22 Remarks _____

23 QA CLOSURE QAE/Lead Auditor/Date Branch Manager/Date PQM/Date

ENCLOSURE

WMPO STANDARD DEFICIENCY REPORT

N-QA-038
3/87

3390
 Completed by Originating QA Organization
 Completed by Organization in Block 5
 Comp. by Orig. QA Org.

1 Date 4/1/88		2 Severity Level <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3		Page 1 of 1	
3a Discovered During WMPO Audit 88-2		3b Identified By R. Klemens		3c Branch Chief Concurrence Date N/A	
4 SDR No. 122		Rev. 0			
5 Organization Holmes & Narver		6 Person(s) Contacted Cathy Bautista		7 Response Due Date is 20 Working Days from Date of Transmittal	
8 Requirement (Audit Checklist Reference, if Applicable) NNWSI-027, Rev. 0, Para. 6.2; Each file shall have an index or log sheet attachment 8.2, which identifies all the documents contained in that file. (Refer to Audit Checklist No. 1-240)					
9 Deficiency The file maintained in the vault by the Records Coordinator does not have an index. There is no way of knowing what is in the file.					
10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective Establish the required file. Determine cause of omission.					
11 QAE/Lead Auditor Date <i>W. K. Kay 4/4/88</i>		12 Branch Manager Date <i>John Klein for 4/5/88</i>		13 Project Quality Mgr. Date <i>Royce Munk 4/5/88</i>	
14 Remedial/Investigative Action(s)					
15 Effective Date _____					
16 Cause of the Condition & Corrective Action to Prevent Recurrence					
17 Effective Date _____					
18 Signature/Date					
19 Response <input type="checkbox"/> Accept <input type="checkbox"/> Amended Response		QAE/Lead Auditor/Date		Branch Manager/Date	
<input type="checkbox"/> Reject					
20 Amended Response <input type="checkbox"/> Accept		QAE/Lead Auditor/Date		Branch Manager/Date	
<input type="checkbox"/> Reject					
21 Verifi- cation <input type="checkbox"/> Satisfactory		QAE/Lead Auditor/Date		Branch Manager/Date	
<input type="checkbox"/> Unsatisfactory					
22 Remarks					
23 QA CLOSURE		QAE/Lead Auditor/Date		Branch Manager/Date	
				PQM/Date	

ENCLOSURE

WMPO STANDARD DEFICIENCY REPORT

N-QA-038
3/87

Completed by Originating QA Organization	1 Date <u>4/1/88</u>		2 Severity Level <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2 <input type="checkbox"/> 3		Page <u>1</u> of <u>2</u>	
	3 Discovered During <u>WMPO Audit 88-2</u>		3a Identified By <u>G. Heaney</u>		3b Branch Chief Concurrence Date <u>N/A</u>	
	4 SDR No. <u>123</u>		Rev. <u>0</u>			
	5 Organization <u>Holmes & Narver</u>		6 Person(s) Contacted <u>C. Wright</u>		7 Response Due Date is <u>20 Working Days from Date of Transmittal</u>	
Completed by Organization in Block 5	8 Requirement (Audit Checklist Reference, if Applicable) <u>H&N Procedure NNWSI-012 "Corrective Action", Rev. 0, Para. 6.2.3.1.3 states: "The corrective action to prevent recurrence appropriately identifies the cause of the deficiency and that the action(s) taken or proposed will prevent recurrence." (Refer to Audit Checklist Item No. 1-93, 1-95)</u>					
	9 Deficiency <u>Contrary to the above requirement, a review of H&N generated corrective action reports (CARS) indicates that the cause of condition has not been identified by the personnel responsible for resolving the deficiency identified. Additionally, QA personnel have evaluated and closed some of the CARS without identifying the fact</u> (cont'd)					
	10 Recommended Action(s): <input type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective 1) <u>Review to determine if the lack of identifying the cause of the deficiency identified has resulted in inadequate or inappropriate corrective action to prevent recurrence.</u> (cont'd)					
Completed by Org. QA Org.	11 QAE/Lead Auditor Date <u>[Signature] 4/4/88</u>		12 Branch Manager Date <u>[Signature] 4/5/88</u>		13 Project Quality Mgr. Date <u>[Signature] 4/5/88</u>	
	14 Remedial/Investigative Action(s)					
	15 Effective Date _____					
16 Cause of the Condition & Corrective Action to Prevent Recurrence						
17 Effective Date _____						
18 Signature/Date						
19 Response		<input type="checkbox"/> Accept <input type="checkbox"/> Amended Response <input type="checkbox"/> Reject		QAE/Lead Auditor/Date		
20 Amended Response		<input type="checkbox"/> Accept <input type="checkbox"/> Reject		QAE/Lead Auditor/Date		
21 Verification		<input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory		QAE/Lead Auditor/Date		
22 Remarks						
23 QA CLOSURE		QAE/Lead Auditor/Date		Branch Manager/Date		
				PQM/Date		

ENCLOSURE



WMPO STANDARD DEFICIENCY REPORT
CONTINUATION SHEET

N-QA-038
10/86

SDR No.

123

Rev.

0

Page 2 of 2

Block 9 Deficiency (cont'd)

that the cause of the condition was not identified.

Block 10 Recommended Action(s) (cont'd)

- 2) Reinstruct personnel to procedural requirements. Provide objective evidence with response to the SDR. Reinstruction should include management personnel responsible for correcting the deficiencies in addition to the QA staff.

WMPO STANDARD DEFICIENCY REPORT

N-QA-038
3/87

Completed by Originating QA Organization

1 Date 4/1/88		2 Severity Level <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2 <input type="checkbox"/> 3		Page 1 of 2	
3a Discovered During WMPO Audit88-2		3b Identified By R. Klemens/ P. Karnoski		3c Branch Chief Concurrence Date N/A	
4 SDR No. 124		Rev. 0			
5 Organization Holmes & Narver		6 Person(s) Contacted Dale Herrington		7 Response Due Date is 20 Working Days from Date of Transmittal	
8 Requirement (Audit Checklist Reference, if Applicable) H&N NNWSI QAPP, Rev. 0, Section IID states "H&N/ESD QA Manual (H&N-10471-1115) applies to QA Level III activities": 1) Section 4, paragraph IIIK of the H&N/ESD QA Manual, which covers Procurement Document Control, states "QA personnel will review procurement documents for (cont'd					
9 Deficiency 1) Contrary to requirement 1 above, H&N issued PO JC-412A to Heleco for calibration services on 2/1/88 without the required QA review. 2) Contrary to requirement 2 above, there is no documented evidence that H&N took the required measures for evaluation and selection of Heleco to perform the required calibration.					
10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective Assure that procurement documents are controlled and processed in accordance with H&N requirements. Conduct necessary training of applicable personnel in the review of purchase orders and evaluation of procurement sources stated in the (cont'd)					

Aprvl.

11 QAE/Lead Auditor Date <i>WR Kayser 4-6-88</i>	12 Branch Manager <i>SA Levin</i>	Date 4/6/88	13 Project Quality Mgr. Date <i>Howe & Morse</i>	4/6/88
---	--------------------------------------	----------------	---	--------

Completed by Organization in Block 5

14 Remedial/Investigative Action(s)		15 Effective Date _____
16 Cause of the Condition & Corrective Action to Prevent Recurrence		17 Effective Date _____
18 Signature/Date		

Comp. by Orig. QA Org.

19 Response	<input type="checkbox"/> Accept <input type="checkbox"/> Reject	<input type="checkbox"/> Amended Response	QAE/Lead Auditor/Date	Branch Manager/Date
20 Amended Response	<input type="checkbox"/> Accept <input type="checkbox"/> Reject		QAE/Lead Auditor/Date	Branch Manager/Date
21 Verifi- cation	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory		QAE/Lead Auditor/Date	Branch Manager/Date
22 Remarks				
23 QA CLOSURE	QAE/Lead Auditor/Date	Branch Manager/Date	PQM/Date	

ENCLOSURE



**WMPO STANDARD DEFICIENCY REPORT
CONTINUATION SHEET**

N-QA-038
10/86

SDR No. 124

Rev. 0

Page 2 of 2

Block 8 Requirement (cont'd)

compliance with Project QA requirements. Both Technical and QA reviews will be documented."

2) Section 7, Paragraph IIIB3 states "Measures for evaluation and selection of procurement sources shall be documented."

Block 10 Recommended Action(s) (cont'd)

requirements in Section 8 above.

WMPO STANDARD DEFICIENCY REPORT

N-QA-038
3/87

35200
Completed by Originating QA Organization
Apr 1
Completed by Organization in Block 5
Comp. by Orig. QA Org.

1 Date 4/1/88		2 Severity Level <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2 <input type="checkbox"/> 3		Page 1 of 1	
3 Discovered During WMPO Audit 88-2		3a Identified By F. Ruth		3b Branch Chief Concurrence Date N/A	
4 SDR No. 125		Rev. 0		7 Response Due Date is 20 Working Days from Date of Transmittal	
5 Organization Holmes & Narver		6 Person(s) Contacted H. MacIntosh		8 Requirement (Audit Checklist Reference, if Applicable) H&N QAPP, Rev. 0, Section 9, Para. IIIB requires that "personnel implementing these processes are appropriately indoctrinated and trained as required by Section 2 of this QAPP." (Refer to Audit Checklist Item No. 1CS-17)	
9 Deficiency Contrary to the above, no indoctrination and training records are in the training file in the NDE laboratory.					
10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective Perform indoctrination of NDE personnel, document that indoctrination and place these records in the training file. Explain reason for omission.					
11 QAE/Lead Auditor Date <i>[Signature]</i> 4/4/88		12 Branch Manager <i>[Signature]</i>		13 Project Quality Mgr. Date <i>[Signature]</i> 4/5/88	
14 Remedial/Investigative Action(s)				15 Effective Date _____	
16 Cause of the Condition & Corrective Action to Prevent Recurrence				17 Effective Date _____	
18 Signature/Date					
19 Response <input type="checkbox"/> Accept <input type="checkbox"/> Amended Response		QAE/Lead Auditor/Date		Branch Manager/Date	
<input type="checkbox"/> Reject					
20 Amended Response <input type="checkbox"/> Accept <input type="checkbox"/> Reject		QAE/Lead Auditor/Date		Branch Manager/Date	
21 Veri- fication <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory		QAE/Lead Auditor/Date		Branch Manager/Date	
22 Remarks					
23 QA CLOSURE		QAE/Lead Auditor/Date		Branch Manager/Date	
				PQM/Date	

ENCLOSURE

WMPO STANDARD DEFICIENCY REPORT

N-QA-038
3/87

13290
 Completed by Originating QA Organization
 Aprvl.
 Completed by Organization in Block 5
 Comp. by Orig. QA Org.

1 Date <u>4/1/88</u>		2 Severity Level <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input checked="" type="checkbox"/> 3		Page 1 of 1	
3-Discovered During <u>WMPO Audit 88-2</u>		3a Identified By <u>R. Klemens/ P. Karnoski</u>		3b Branch Chief Concurrence Date <u>N/A</u>	
4 SDR No. <u>129</u>		Rev. <u>0</u>			
5 Organization <u>Holmes & Narver</u>		6 Person(s) Contacted <u>Jade Woodruff, Greg Bates</u>		7 Response Due Date is <u>20 Working Days from Date of Transmittal</u>	
8 Requirement (Audit Checklist Reference, if Applicable) <u>NNWSI-016, Rev. 0, ICN-001, Para. 6.1.2: The party chief verifies the data generated included on field notes. Direct Optical Survey Forms, and Tunnel X-Section Forms, and initials and dates the survey data. (Refer to Audit Checklist No. 1-116)</u>					
9 Deficiency <u>The Direct Optical Survey Form and Tunnel X-Section Forms need a "Verified By" and signature of the party chief. At present, it cannot be determined if the data has been verified.</u>					
10 Recommended Action(s): <input type="checkbox"/> Remedial <input type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective <u>Prepare and initiate required information on the forms.</u>					
11 QAE/Lead Auditor Date <u>[Signature] 4/6/88</u>		12 Branch Manager <u>[Signature]</u>		Date <u>4/6/88</u>	
				13 Project Quality Mgr. Date <u>[Signature] 7/6/88</u>	
14 Remedial/Investigative Action(s)					
15 Effective Date _____					
16 Cause of the Condition & Corrective Action to Prevent Recurrence					
17 Effective Date _____					
18 Signature/Date					
19 Response		<input type="checkbox"/> Accept <input type="checkbox"/> Amended <input type="checkbox"/> Reject <input type="checkbox"/> Response		QAE/Lead Auditor/Date	
20 Amended Response		<input type="checkbox"/> Accept <input type="checkbox"/> Reject		QAE/Lead Auditor/Date	
21 Verifi- cation		<input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory		QAE/Lead Auditor/Date	
22 Remarks					
23 QA CLOSURE		QAE/Lead Auditor/Date		Branch Manager/Date	
				PQM/Date	

ENCLOSURE