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		•	WMPO STAN	DARD DEFICIENCY REI	PORT	N-QA-038 3/87
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	3 Discov	vered During o. 88-3	3a Identified By Schwartztraube Thompson	зь Branch Chief Concurrence Date N/A	4 SDR No. 132	Rev. <u>0</u>
	5 Organ USGS-Me	ization nlo Park) Contacted ns/Tom Chaney	7 Response 20 Workin Date of Tr	g Days from
	(Re (Re 3/1	fer to Audia 9/87, Sectio	t Checklist No. on III, Para. 3	ence, if Applicable) 3.5) NNWSI QA Plan, N 3.3, identifies 3 minimu ment program. One of t	m requirements for	ra
	5 9 Defici NNV 1 req	SI-USGS-QMP uirement for	r the listing o	approved in October 198 f the software nor have	e listings been pro	
	10 Reco 5 1. 2.	Revise NNW	SI-USGS-QMP-3.0	dial 🛛 Investigative 🖾 (3, Rev. 0 to comply with Software Summary Forms	h NV0-196-17, Rev	. 5.
		ead Auditor	Date 12 Brau	hch Manager Date	13 Project Quality	.1 .1
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WMPO STANDARD DEFICIENCY REPORT
CONTINUATION SHEETN-QA-038
10/86SDR No. 132Rev. 0Page 2 of 2

8 Requirement (continued)

listing of the software.

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10 Recommended Actions (continued)

3. Investigate to determine if other NVO-196-17, Rev. 5 requirements have been omitted from NNWSI-USGS-QMP-3.03, Rev. 0.

4. Identify how to prevent recurrence in the future.

5. Determine impact of this deficiency on the quality of any work product.

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Organization	3 Discovered D Audit No. 88-3	Ouring 3a Sch	dentified By artztrauber			SDR No.
-	5 Organization USGS-Menlo Pa	rk	6 Person(s) John Evans	Contacted /Tom Chaney	7	Response Due Date i 20 Working Days fro Date of Transmittal
Originating QA	8 Requirement (Refer to requires Software	Audit Che the QA of	cklist No. : fice to ass:	ce, if Applicable) 3.11) NNWSI-USGS-QMP-3 ign a unique identific tware Checklist and In	cation co	de to each
Ъ	This requ		s not being a al practice	complied with nor has	the proc	cedure been changed
plet	10 Recommend	ed Action(s): 🕅 Remedi	al 🗌 Investigative 🗌 (Corrective	······
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Organization	3 Discovered Durin Audit No. 88-3	ng 3a Identified By Schwartztraube Thompson	y 3b Branch Chief Concurrence Date	4 SDR No. 134 Rev. 0
-	5 Organization USGS-Menlo Park		s) Contacted ns/Tom Chaney	7 Response Due Date is 20 Working Days from Date of Transmittal
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WMPO STANDARD DEFICIENCY REPORT N-QA-038 10/86 CONTINUATION SHEET SDR No. 135 Rev. 0 of 3 Page 2 8 Requirement (continued) memorandums of understanding, interagency agreements, management agreements, or other suitable documents." B. NNWSI-USGS-QMP-4.01, R.1, Paragraph 4.1.1, requires the requestor to include the QA Level and the Scientific Investigation Plan (SIP) No. on the USGS Requisition. C. Paragraph 4.1.3 requires that requisition documents include or reference applicable regulatory requirements, site investigation basis and other requirements that are necessary to assure adequate quality for the procurement of the material, equipment, or services utilized on the NNWSI Project. D. Paragraph 4.1.4 requires that Level I items/services, requisition documents include provisions from the following Paragraphs, 4.1.4.1 through 4.1.4.5. E. Paragraph 4.3.1 requires the requestor/PI to complete the USGS Requisition Form D1-1, Attachment 1, and the NNWSI Technical Review of Procurement Documents form, Attachment 2. F. Paragraph 4.3.2 requires the NNWSI Branch Administrative Officer to assign a controlled requisition number to both Attachments 1 and 2 and to obtain the approval signature of the Chief, Branch of NNWSI. Paragraph 4.3.3, requires the QA Manager to review the requisition in accordance G. with Attachment 3 Checklist for USGS Procurement Document QA Review. Upon satisfactory completion of the review, the QA Manager is to sign Attachment 3. H. Paragraph 4.3.5 requires the USGS QA Manager to review all Level I and II contracts and purchase orders for QA compliance with the approved requisition prior to their release and to send copies of all Level I procurement documents and any subsequent changes to DOE/WMPO. I. NNWSI-USGS-QAPP, R.4, Section 4, Paragraph 4.6, requires the USGS to forward to the WMPO QA (QASC-Audits and Surveillance Branch Manager) one copy of purchase documents, and changes thereto, as issued, when purchases involve QA Level I items or services. 9 Deficiency (continued) **B**. There was no QA Level or SIP numbers identified on Requisition Nos. 9380-1017, 9380-1018, and 9380-1053

C. Requisition No. 9380-1053 was determined to be a QA Level I activity. No reference has been made to the applicable regulatory requirements, site investigation basis and any other requirements that are necessary to assure adequate quality for

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WMPO STANDARD DEFICIENCY REPORT CONTINUATION SHEET	N-QA-038 10/86
SDR No. 135 Rev. 0 Page 3	of 3
9 Deficiency (continued)	
the procurement.	
D. Requisition No. 9380-1053, which has been identified as a QA Level I does have any of the applicable provisions identified in Paragraph 4.1.4.1 throug 4.1.4.5, Scope of Work Technical requirements, QA Requirements, Rights of Ac Documentation requirements.	h _
E. NNWSI Technical Review of Procurement Documents, Attachment 2 has not be prepared as required for Requisition No. 9380-1053.	en
F. The three (3) requisitions (Nos. 9380-1017, 9380-1018, and 9380-1053) the were reviewed during the course of the audit did not have the approval signature of the Chief, NNWSI.	at
G. Attachment 3 checklist for USGS Procurement Document QA Review has not be prepared for Requisition No. 9380-1053.	een
H. There is no evidence that the USGS QA Manager has reviewed Requisition No 9380-1053 for QA compliance with the approved requisition prior to release. also no objective that copies of Level I procurement documents or any subsequing changes were sent to DOE/WMPO by the USGS QA office as required.	There is
I. There is no objective evidence the USGS has forwarded to the WMPO QA (QASC-Audits and Surveillance Branch Manager) a copy of purchase documents and changes thereto, as issued, when purchases involve QA Level I items or services. An example is Requisition No. 9380-1053, which has been determine to be for a QA Level I activity.	ed
10 Recommended Actions (continued)	
identical and/or similiar deficiencies noted in this SDR.3. Identify the actions to be taken to identify the cause of the conditions and what will be done to prevent recurrence.	•
4. Determine the impact of this deficiency on the quality of any work perform	rmed.

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Originating Q	I B BROUIREME	to Audit Ch -7.01, R.O,	ecklist Item Control of	nce, if Applicable) 1 Nos. 7-5, 7-6, and 2 Purchased Materials 2 evaluation to be perf	Equipment and	Services",
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Comple	10 Recommend 1. Iden this SD	ntify action		ial X Investigative X en to correct the sp		cies noted in
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WMPO STANDARD DEFICIENCY REPORT CONTINUATION SHEET	N-QA-038 10/86
SDR No. 136 Rev. 0 Pa	ge 2 of 2
8 Requirement (continued)	
B) Paragraph 5.4.1, requires bid evaluations to be documented per Att Bid Evaluation Summary.	achment 1, USGS
C) Paragraph 5.5, requires Supplier Performance Evaluation to be performance established by the USGS to interface with the supplier and to supplier's performance, as necessary.	
D) Paragraph 5.6, requires surveillances and/or audits to verify the performance in accordance with the procurement documents.	suppliers
E. Paragraph 5.7, requires an Approved Supplier's List to be prepared by the QA manager to identify all approved suppliers.	
9 Deficiency (continued)	
contracts for Menlo Park. C) No Supplier Performance Evaluations have been performed by the USG D) Surveillances and/or audits have not been performed to verify the performance in accordance with the procurement documents. E) An approved Suppliers List has not been prepared by the QA Manager	suppliers
10 Recommended Actions (continued)	
 Actions should be taken to determine the imapct of the deficiencies work performed. Determine the cause of the conditions noted in this SDR and identi- done to prevent recurrence. 	

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Organization	3 Discovered During Audit No. 88-3	F^{30} deptified By	35 Branch Chief Concurrence Date N/A	4 SDR No. 137	Rev. 0
	1 1363-MEDIO FRIK	6 Person(s Susan Shi) Contacted ipley	7 Response 20 Workin Date of T	Due Date is ng Days from ransmittal
Originating QA		t Checklist Ite to establish a	ence, if Applicable) m No. 7-18) QMP-7.02, H nd maintain a file for nd a "Material Receivin	all Material Rece	iving
à	No MRIR file o	or log have been	established in Menlo F	Park.	
Completed	10 Recommended Ad Establish an M	ction(s): X Remea RIR file and lo	dial 🗆 Investigative 🗆 C g.	Corrective	
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_	5 Organization USGS-Menlo Park	6 Person Susan S	(s) Contacted hipley	t l		7 Response 1 20 Workin Date of Tr	g Days from
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Ą	The USGS has	procured servic using any of t			eophysica	l but has not	accepted
plet	10 Recommended A	ction(s): X Rem	edial 🛛 Inv	estigative	X Correc	ctive	
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8 Requirement (continued)

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any one or all three methods identified.

10 Recommended Actions (continued)

2. Determine if there are similar conditions in existence.

3. Identify the cause of the condition(s) and what will be done to prevent recurrence.

Determine the impact of the deficiency on the work performed. 4.

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-	5 Organizati USGS-Menlo			s) Contacted y/T. M. Brocher/E. Helle	7 Response Due Date is 20 Working Days from Date of Transmittal
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à	Contrai and ter	ry to the a		requirements, during the wing deficiencies were ob	e review of USGS measuring bserved:
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8 Requirement (continued)

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identification, date calibrated, date recalibration is due, procedure number and calibrator.

B. NNWSI-USGS-QMP-12.01, Rev. 1, Para. 5.3, requires that standards used for calibration of instruments be traceable to the National Bureau of Standards (NES) or other known standards; this includes primary and working standards. If NES standards do not exist, the reference standard used is to be supported by certificates, reports, or data sheets attesting to the date, accuracy, and conditions under which the results were obtained. If reference standards are used, they are required to be stored and handled in such a way as to maintain the required accuracy and characteristics of the standard.

C. NNWSI-USGS-QAPP-01, Rev. 4, Para. 12.2.2, requires measuring and test equipment to be calibrated, adjusted, and maintained at prescribed intervals. In addition, NNWSI-USGS-QMP-12.01, Rev. 1, Para. 5.4.2, requires that instruments that are out of calibration be tagged by attaching a hold-tag, or otherwise segregated and not used until recalibrated.

D. NNWSI-USGS-QMP-12.01, Rev. 1, Para. 5.8, requires that up-to-date records be maintained by the QA office of all equipment calibrations and their status.

E. NNWSI-USGS-QMP-12.01, Rev. 1, Para. 5.8.2 and 5.8.3, require that the USGS QA office to enter the information into a calibration tracking system and provide the originating PI a copy, along with quarterly listings of instruments in the calibration register and their calibration status.

9 Deficiency (continued)

A. Tag identification did not correspond to the serial number that was on the actual manufacturers tag. For example, A. C. Voltmeter S/N 09B6A27296, G-425078.

B. NBS test numbers or other acceptable references to provide traceability to known standards were not observed on the majority of records reviewed. Examples include, Mettler Balance, model #H-18, S/N-503969; Soltec Constant Current Source, model #6141, S/N-17580403; A/C Voltmeter, S/N-0986A27296. Note: This was previously identified via SDR 070 during the performance of WMPO Audit 87-6/87-7.

C. A/C Voltmeter, S/N-0986A27296 was due for calibration 3/5/88 and was found in a non-segregrated area with no hold tag attached; Magnetometer, model #G-816, S/N-1011 due 3/5/88- no hold tag;. Note: This was previously identified via WMPO Surveillance SR-88-001 as an Observation #2. The USGS response indicated that all the PIs would be reminded that calibration records should indicate periods when Project equipment is removed from the calibration program. Also noted was that the USGS-Menlo Park personnel were not appraised of the commitment made via the USGS-Denver, CO. office. Rev. 0

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9 Deficiency (continued)

D. Not all the required information was contained on the QA calibration forms reviewed, missing information included the range and accuracy, calibration date, calibration procedure and the responsible PI.

The USGS M&TE tracking system has not been fully developed, nor have quarterly Ε. updates been provided to the responsible PIs. No master list of USGS-MATE was available so it was impossible to determine what M&TE was used/might be used on the NNWSI Project.

10 Recommended Actions (continued)

records.

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3. Determine the impact of these deficienices on the validity of any data collected. 4. Review procurement document requirements to determine if adequate requirements for calibration certifications are specified. Develop a minimum requirements list for certifications submitted to USGS.

5. Develop the required calibration tracking system as identified in QMP-12.01 and provide the PIs with the updates as stipulated.

6. Provide appropriate training to all affected USGS personnel to ensure their understanding of the QA program requirements.

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8 Requirement (continued)

and documented."

SDR No. 140

9 Deficiency (continued)

Seismic Reflection Test (Armagoosa Desert)] which is classified as a QA Level I activity, is using scientific and engineering software (SES) without following the requirements of NNWSI-USGS-QMP-3.03, Rev. 0.

10 Recommended Actions (continued)

2. Investigate and determine if any additional software has not been documented in accordance with QMP-3.03.

3. Determine the impact of this deficiency on the work performed.

4. Identify the steps that will be taken to prevent recurrence of this deficiency in the future.