

WMPO STANDARD DEFICIENCY REPORT

N-QA-038
3/87

Completed by Originating QA Organization	1 Date 4/28/88		2 Severity Level <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2 <input type="checkbox"/> 3		Page 1 of 2	
	3 Discovered During Audit No. 88-3		3a Identified By Schwartztrauber/Thompson		3b Branch Chief Concurrence Date N/A	
	4 SDR No. 132		Rev. 0			
	5 Organization USGS-Menlo Park		6 Person(s) Contacted John Evans/Tom Chaney		7 Response Due Date is 20 Working Days from Date of Transmittal	
Completed by Organization in Block 5	8 Requirement (Audit Checklist Reference, if Applicable) (Refer to Audit Checklist No. 3.5) NNWSI QA Plan, NV0-196-17, Rev. 5, dated 3/19/87, Section III, Para. 3.3, identifies 3 minimum requirements for a software configuration management program. One of these requirements is a					
	9 Deficiency NNWSI-USGS-QMP-3.03, Rev. 0, approved in October 1986, does not include a requirement for the listing of the software nor have listings been provided.					
	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective 1. Revise NNWSI-USGS-QMP-3.03, Rev. 0 to comply with NV0-196-17, Rev. 5. 2. Provide listings with the Software Summary Forms.					
	11 QAE/Lead Auditor Date 5/18/88		12 Branch Manager Date 5/18/88		13 Project Quality Mgr. Date 5/22/88	
Comp. by Orig. QA Org.	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		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		

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8 Requirement (continued)

listing of the software.

10 Recommended Actions (continued)

3. Investigate to determine if other NV0-196-17, 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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	3 Discovered During Audit No. 88-3		3a Identified By Schwartztrauber/ Thompson		3b Branch Chief Concurrence Date
	5 Organization USGS-Menlo Park		6 Person(s) Contacted John Evans/Tom Chaney		7 Response Due Date is 20 Working Days from Date of Transmittal
	8 Requirement (Audit Checklist Reference, If Applicable) (Refer to Audit Checklist No. 3.11) NNWSI-USGS-QMP-3.03, Rev. 0, Para. 6.3.2, requires the QA office to assign a unique identification code to each Software Summary Form and Software Checklist and Indexing Form.				
Completed by Organization in Block 5	9 Deficiency This requirement is not being complied with nor has the procedure been changed to reflect the actual practice.				
	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input type="checkbox"/> Investigative <input type="checkbox"/> Corrective Revise the procedure, NNWSI-USGS-QMP-3.03, Rev. 0, or comply with the requirement.				
	11 QAE/Lead Auditor Date <i>C. Thompson</i> 5/18/88		12 Branch Manager <i>A. J. [Signature]</i> 5/18/88		13 Project Quality Mgr. Date <i>Raymond [Signature]</i> 5/22/88
	14 Remedial/Investigative Action(s) 15 Effective Date _____				
Comp. by Orig. QA Org.	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
Comp. by Orig. QA Org.	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

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

1 Date 4/28/88		2 Severity Level <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2 <input type="checkbox"/> 3		Page 1 of 2	
3 Discovered During Audit No. 88-3		3a Identified By Schwartztrauber/ Thompson		3b Branch Chief Concurrence Date N/A	
4 SDR No. 134		Rev. 0			
5 Organization USGS-Menlo Park		6 Person(s) Contacted John Evans/Tom Chaney		7 Response Due Date is 20 Working Days from Date of Transmittal	
8 Requirement (Audit Checklist Reference, if Applicable) (Refer to Audit checklist Item No. 3.15) QMP 3.03, Rev. 0, Para. 6.3.5 requires errors in software to be reported on Attachment 6, "Software Error User Notification Form."					
9 Deficiency For software "CALIBRAE.FOR", an apparent coding error was reported on the Software Summary Form as the reason for revision to the program and not on an Error Form as required by the approved procedure.					
10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective 1. Issue the required Software Error User Notification Form. 2. Investigate to be certain that other users of the code were					
11 QAE/Lead Auditor Date <i>W. Thompson 5/18/88</i>		12 Branch Manager <i>W. Chaney 5/18/88</i>		13 Project Quality Mgr. Date <i>Roger S. Moore 5/22/88</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 <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	
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10 Recommended Actions (continued)

aware of the error.

3. Determine why the proper form was not used and if additional training may be required.

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	3 Discovered During Audit No. 88-3	3a Identified By F. J. Ruth	3b Branch Chief Concurrence Date N/A	4 SDR No. 135 Rev. 0	
	5 Organization USGS-Menlo Park	6 Person(s) Contacted Karen Morganstern		7 Response Due Date is 20 Working Days from Date of Transmittal	
	8 Requirement (Audit Checklist Reference, if Applicable) (Refer to Audit checklist Item No. 4.3-4.6 and 4.11-4.17) A. NNWSI-USGS-QAPP, R.4, Section 4, Procurement Document Control, Paragraph 4.2, states in part, "The USGS shall prepare work agreements,				
Completed by Organization in Block 5	9. Deficiency A. There was no objective evidence that a work agreement, memorandum of understanding, or an interagency agreement existed for Requisition No. 9380-1053, Vendor, Ben Schulein.				
	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective 1. Take actions to correct the specific deficiencies noted on the SDR. 2. Determine if there are any other procurement documents with the				
	11 QAE/Lead Auditor Date <i>[Signature]</i> 5/18/88	12 Branch Manager Date <i>[Signature]</i> 5/18/88	13 Project Quality Mgr. Date <i>[Signature]</i> 5/23/88		
	14 Remedial/Investigative Action(s) 15 Effective Date _____				
Comp. by Orig. QA Org.	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		Branch Manager/Date	
	20 Amended Response <input type="checkbox"/> Accept <input type="checkbox"/> Reject	QAE/Lead Auditor/Date		Branch Manager/Date	
Comp. by Orig. QA Org.	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	



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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.

G. Paragraph 4.3.3, requires the QA Manager to review the requisition in accordance 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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9 Deficiency (continued)

the procurement.

D. Requisition No. 9380-1053, which has been identified as a QA Level I does not have any of the applicable provisions identified in Paragraph 4.1.4.1 through 4.1.4.5, Scope of Work Technical requirements, QA Requirements, Rights of Access, and Documentation requirements.

E. NNWSI Technical Review of Procurement Documents, Attachment 2 has not been prepared as required for Requisition No. 9380-1053.

F. The three (3) requisitions (Nos. 9380-1017, 9380-1018, and 9380-1053) that were reviewed during the course of the audit did not have the approval signature of the Chief, NNWSI.

G. Attachment 3 checklist for USGS Procurement Document QA Review has not been prepared for Requisition No. 9380-1053.

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. There is also no objective that copies of Level I procurement documents or any subsequent changes were sent to DOE/WMPO by the USGS QA office as required.

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 determined to be for a QA Level I activity.

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 performed.

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	3 Discovered During Audit No. 88-3		3a Identified By F. J. Ruth		3b Branch Chief Concurrence Date N/A	
	4 SDR No. 136		Rev. 0			
	5 Organization USGS-Menlo Park		6 Person(s) Contacted Tom Broucher		7 Response Due Date is 20 Working Days from Date of Transmittal	
Completed by Organization in Block 5	8 Requirement (Audit Checklist Reference, if Applicable) (Refer to Audit Checklist Item Nos. 7-5, 7-6, and 7-8. 7-9 and 7-12) A) QMP-7.01, R.O, "Control of Purchased Materials Equipment and Services", Paragraph 3, requires source evaluation to be performed when appropriate.					
	9 Deficiency A) There was no source evaluation completed for Petty Ray Geophysical before the award of the contract. B) There have been no bid evaluations performed and documented for any					
	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective 1. Identify actions to be taken to correct the specific deficiencies noted in this SDR.					
	11 QAE/Lead Auditor Date <i>[Signature]</i> 5/13/88		12 Branch Manager Date <i>[Signature]</i> 5/13/88		13 Project Quality Mgr. Date <i>[Signature]</i> 5/23/88	
Comp. by Orig. QA Org.	14 Remedial/Investigative Action(s)					
	15 Effective Date _____					
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	17 Effective Date _____					
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	19 Response <input type="checkbox"/> Accept <input type="checkbox"/> Amended Response <input type="checkbox"/> Reject		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		
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8 Requirement (continued)

- B) Paragraph 5.4.1, requires bid evaluations to be documented per Attachment 1, USGS Bid Evaluation Summary.
- C) Paragraph 5.5, requires Supplier Performance Evaluation to be performed through measures established by the USGS to interface with the supplier and to verify supplier's performance, as necessary.
- D) Paragraph 5.6, requires surveillances and/or audits to verify the suppliers performance in accordance with the procurement documents.
- 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 USGS.
- D) Surveillances and/or audits have not been performed to verify the suppliers performance in accordance with the procurement documents.
- E) An approved Suppliers List has not been prepared by the QA Manager.

10 Recommended Actions (continued)

- 2. Actions should be taken to determine the impact of the deficiencies noted on the work performed.
- 3. Determine the cause of the conditions noted in this SDR and identify what will be done to prevent recurrence.

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Completed by Organization in Block 5

Comp. by Orig. QA Org.

1 Date 4/28/88		2 Severity Level <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input checked="" type="checkbox"/> 3		Page 1 of 1	
3 Discovered During Audit No. 88-3		3a Identified By F. J. Ruth		3b Branch Chief Concurrence Date N/A	
4 SDR No. 137		Rev. 0			
5 Organization USGS-Menlo Park		6 Person(s) Contacted Susan Shipley		7 Response Due Date is 20 Working Days from Date of Transmittal	
8 Requirement (Audit Checklist Reference, if Applicable) (Refer to Audit Checklist Item No. 7-18) QMP-7.02, RO, Para. 5.5, requires the USGS QA office to establish and maintain a file for all Material Receiving Inspection Report packages, and a "Material Receiving Inspection Log."					
9 Deficiency No MRIR file or log have been established in Menlo Park.					
10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input type="checkbox"/> Investigative <input type="checkbox"/> Corrective Establish an MRIR file and log.					
11 QAE/Lead Auditor Date <i>5/11/88</i>		12 Branch Manager Date <i>5/18/88</i>		13 Project Quality Mgr. Date <i>5/23/88</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 <input type="checkbox"/> Reject		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	
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	3 Discovered During Audit 88-3		3a Identified By F. J. Ruth		3b Branch Chief Concurrence Date N/A	
	4 SDR No. 138		Rev. 0			
	5 Organization USGS-Menlo Park		6 Person(s) Contacted Susan Shipley		7 Response Due Date is 20 Working Days from Date of Transmittal	
Completed by Organization in Block 5	8 Requirement (Audit Checklist Reference, if Applicable) (Refer to Audit Checklist Item No. 7-32) QMP 7.03 Section 3, Acceptance of Materials, Equipment and Services, Paragraph 5.5, requires that when a procurement is for services only, the USGS shall accept the service by either					
	9 Deficiency The USGS has procured services from Petty Ray Geophysical but has not accepted the services using any of the stated methods.					
	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective 1. Identify the action(s) to be taken to correct the specific deficiency noted on this SDR.					
	11 QAE/Lead Auditor Date <i>[Signature]</i> 5/19/88		12 Branch Manager Date <i>[Signature]</i> 5/19/88		13 Project Quality Mgr Date <i>[Signature]</i> For James Blaylock 05/15/88	
Comp. by Orig. QA Org.	14 Remedial/Investigative Action(s)					
	15 Effective Date _____					
	16 Cause of the Condition & Corrective Action to Prevent Recurrence					
	17 Effective Date _____					
Comp. by Orig. QA Org.	18 Signature/Date					
	19 Response <input type="checkbox"/> Accept <input type="checkbox"/> Amended Response <input type="checkbox"/> Reject		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 Verification <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



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8 Requirement (continued)

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

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	3 Discovered During Audit 88-3		3a Identified By Steven P. Nolan		3b Branch Chief Concurrence Date N/A	
	5 Organization USGS-Menlo Park, CA		6 Person(s) Contacted T. Chaney/T. M. Brocher/E. Helley		7 Response Due Date is 20 Working Days from Date of Transmittal	
	8 Requirement (Audit Checklist Reference, if Applicable) (Audit Item Nos. 12.2, 12.3, 12.4, 12.5, 12.7, 12.9, 12.12, 12.13) A. NNWSI-USGS-QMP-12.01, Rev. 1, Para. 5.5-a, requires that all equipment used be marked indicating the calibration status showing unique equipment					
Completed by Organization in Block 5	9 Deficiency Contrary to the above listed requirements, during the review of USGS measuring and test equipment the following deficiencies were observed:					
	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective 1. Correct the deficiencies identified. 2. Determine if similar deficiencies exist for other M&TE or the associated					
	11 QAE/Lead Auditor Date <i>[Signature]</i> 5/19/88		12 Branch Manager Date <i>[Signature]</i> 5/19/88		13 Project Quality Mgr. Date <i>[Signature]</i> 5/22/88	
	14 Remedial/Investigative Action(s) 15 Effective Date _____					
Comp. by Orig. QA Org.	16 Cause of the Condition & Corrective Action to Prevent Recurrence 17 Effective Date _____					
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	19 Response <input type="checkbox"/> Accept <input type="checkbox"/> Amended Response <input type="checkbox"/> Reject		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	
Comp. by Orig. QA Org.	21 Verifi- cation <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory		QAE/Lead Auditor/Date		Branch Manager/Date	
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8 Requirement (continued)

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 (NBS) or other known standards; this includes primary and working standards. If NBS 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-segregated 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.



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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.

E. The USGS M&TE tracking system has not been fully developed, nor have quarterly updates been provided to the responsible PIs. No master list of USGS-M&TE 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.

3. Determine the impact of these deficiencies 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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Completed by Originating QA Organization	1 Date 4/28/88		2 Severity Level <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2 <input type="checkbox"/> 3		Page 1 of 2	
	3 Discovered During Audit No. 88-3		3a Identified By F. Peters/ D. Klimas		3b Branch Chief Concurrence Date N/A	
	4 SDR No. 140		Rev. 0			
	5 Organization USGS-Menlo Park		6 Person(s) Contacted T. M. Broucher		7 Response Due Date is 20 Working Days from Date of Transmittal	
Completed by Organization in Block 5	8 Requirement (Audit Checklist Reference, If Applicable) (Refer to Audit Checklist Item No. 3222.5). NNWSI-USGS-QMP-3.03, Rev. 0, Paragraph 3 states in part, "All scientific and engineering software (SES) used in support of Quality Level I and II NNWSI-USGS work shall be controlled					
	9 Deficiency Contrary to the cited requirement, Petty Ray Geophysical, a subcontractor to the USGS for the acquisition and processing of seismic data under USGS-SIP-3222G-01, Rev. 0, Seismic Reflection and Retraction Surveys [Deep					
	10 Recommended Action(s): <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Investigative <input checked="" type="checkbox"/> Corrective 1. Provide the documentation required for the Petty Ray software in accordance with USGS-NNWSI-QMP-3.03, Rev. 0.					
	11 QAE/Lead Auditor Date		12 Branch Manager Date		13 Project Quality Mgr. Date	
Completed by Org. QA Org.	14 Remedial/Investigative Action(s)					
	15 Effective Date					
	16 Cause of the Condition & Corrective Action to Prevent Recurrence					
	17 Effective Date					
Comp. by Orig. QA Org.	18 Signature/Date					
	19 Response <input type="checkbox"/> Accept <input type="checkbox"/> Amended Response <input type="checkbox"/> Reject		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



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8 Requirement (continued)

and documented."

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.