



Department of Energy
Office of Civilian Radioactive Waste Management
Yucca Mountain Site Characterization Office
P.O. Box 98608
Las Vegas, NV 89193-8608

NOV 07 1995

L. Dale Foust
Technical Project Officer
for Yucca Mountain Site
Characterization Project
TRW Environmental Safety Systems, Inc.
101 Convention Center Drive, Suite P-110
Las Vegas, NV 89109

ISSUANCE OF DEFICIENCY REPORT (DR) YMQAD-96-D001 THROUGH
YMQAD-96-D-003 RESULTING FROM YUCCA MOUNTAIN QUALITY ASSURANCE
DIVISION'S (YMQAD) AUDITS OF SANDIA NATIONAL LABORATORIES
(SCP: N/A)

Enclosed are DRs YMQAD-96-D001 through YMQAD-96-D003 generated as
a result of YMQAD Audits.

In accordance with the implementation of Administrative
Procedures AP-16.1Q and AP-16.2Q, Corrective Action Requests
(CARs) YM-95-015, YM-95-017, and YM-94-093 have been converted
into DRs. Respectively, these DRs are now numbered YMQAD-96-D001
through YMQAD-96-D003. Under direction of the Office of Quality
Assurance, this conversion was necessary for these
nonsignificant condition CARs as their resolution dates extended
beyond the end of the calendar year.

No additional action regarding resolution and closure of these
DRs is required on your part except that it will be necessary in
future correspondence to refer to the new DR number in lieu of
the original CAR number.

140090

YMP-5

9511150336 951107
PDR WASTE
WM-11 PDR

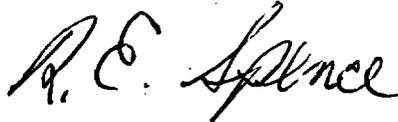
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WM-11
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L. Dale Foust

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If you have any questions, please contact either Robert B. Constable at 794-7945 or Charles C. Warren at 794-7248.



Richard E. Spence, Director
Yucca Mountain Quality Assurance Division

YMQAD:RBC-427

Enclosures:

1. DRs YMQAD-96-D001 through
YMQAD-96-D003
2. PR/DR Continuation Pages
(indicating closure)

cc w/encl:

J. G. Spraul, NRC, Washington, DC
S. W. Zimmerman, NWPO, Carson City, NV
T. A. Wood, HQ (RW-14) FORS
R. L. Strickler, M&O, Vienna, VA
Richard Jiu, M&O, Las Vegas, NV
R. P. Ruth, M&O, Las Vegas, NV
R. R. Richards, SNL, Albuquerque, NM, M/S 1333

cc w/o encl:

W. L. Belke, NRC, Las Vegas, NV
D. G. Sult, YMQAD/QATSS, Las Vegas, NV

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PERFORMANCE/DEFICIENCY REPORT

1 Controlling Document: QAIP 6-3, Rev. 02, QAIP 20-2, Rev. 00	2 Related Report No. YM-ARP-95-03
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3 Responsible Organization: SNL	4 Discussed With: M. Riggins/D. Kessel
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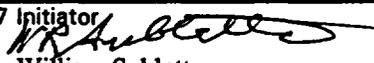
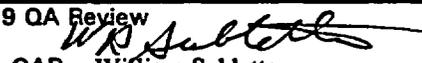
5 Requirement/Measurement Criteria:
This DR replaces CAR YM-95-015

QAIP 6-3, Section 5.2, Step 1 states, (Reviewers) "Shall conduct the review in accordance with specified criteria and shall document comments on the DRC form."

Section 3.1, states in part, "Technical Review:", "Technical reviews are in-depth critical reviews, analyses, and evaluations of documents, material, or data that require technical verification and/or validation for applicability, correctness, adequacy, and completeness."

6 Description of Condition:
Contrary to the above requirements, a technical review of SLTR94-0001 did not identify the following deficient conditions:

- The value for displacement (P), pressure (q), and modulus (E) for Test #1239 on page 5-22 of SLTR94-0001 are not consistent with these same values on page #4267 of the Scientific Notebook. It was determined that the values "P", "q", and "E" in the SLTR document are in error for Test #1239. The correct values on page #4267 of the Scientific Notebook are recalculated checking analysis values, whereas, the erroneous values in the SLTR are from the original calculations which are not provided in the Scientific Notebook.
- SLTR94-0001, Page 5-3, Figure 5.1, and Page 5-4, Section 5.2.1: The Standard Penetration Test (SPT) blow count data presented in Figure 5.1, was not corrected for overburden pressures and there is no documentation of that fact on this figure. The SLTR does state on Page 5-4 that "the SPT values are not corrected for overburden pressure", however, this same statement needs to be made on Figure 5.1 where the SPT blow count data is presented. This requirement is necessary so that a user will not

7 Initiator  William Sublette Date 11/10/95	9 QA Review  QAR William Sublette Date 11/2/95
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10 Response Due Date N/A	11 QA Issuance Approval QAR (PRI)/AOQAM (DR)  Date 11/7/95
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12 Remedial Actions:
See response to CAR YM-95-015

13 Remedial Action Response By: N/A Date	14 Remedial Action Due Date N/A Date
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15 Remedial Action Response Acceptance QAR N/A Date	16 PR Verification/Closure QAR N/A Date
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5 Requirement/Measurement Criteria:

QAIP 20-2, Section 4.1, third bullet, 4. states, "A description of the work performed and results obtained, names of individuals performing the work, and dated initials or signature, as appropriate, of individuals making the entries."

6 Description of Condition:

unwittingly use this data without realizing that it has not been corrected for overburden pressure. In many instances end users will not read the entire document to determine if there are any qualifying factors associated with the data they wish to use, instead they will only look at the figure or table that the data is presented on.

The PI stated that the SPT blow count data was not corrected for overburden pressure since this was not used to establish soil properties, however, it was used to help identify stratigraphic continuity. If this data is used for establishing stratigraphic continuity, then it is important that this data is adjusted to account for variations in overburden pressures. Generally, the SPT blow count data is used as a preliminary exploration method for identifying areas that may require further exploration and characterization. With this in mind, the question should be asked why the SPT blow count data shown on Figure 5.1 for Unit 4 from boreholes NRG-2D and NRG-2C is noticeably less than most other units penetrated. The next step is to look at the moisture contents in Table 5-2 for these same boreholes in Unit 4. It becomes apparent that the moisture contents are high and a further calculation will show that some of these areas in Unit 4 will probably be 100% saturated and stand-up time and bearing capacity could be adversely impacted.

This demonstrates the exploration and collaboration capabilities of the SPT and why this type of data should not be taken lightly and every effort made to provide the most representative SPT blow count data. Correcting for overburden pressure will provide more representative SPT blow count data.

NOTE: This DR is issued to supercede CAR YM-95-015 in order to implement the revised OCRWM Corrective Action Program.

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8 CAR NO. YM-95-015
PAGE: OF
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CORRECTIVE ACTION REQUEST (CONTINUATION PAGE)

Conditions adverse to quality identified in this CAR are transferred to DR YMQAD-96-D001 in order to implement the revised OCRWM Corrective Action Program. This CAR is considered closed.



QAR

11/2/95
Date

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8 CAR NO.: YM-95-015
PAGE: 1 OF 2
QA

CORRECTIVE ACTION REQUEST

1 Controlling Document QAIP 6-3, Revision 02, QAIP 20-2, Revision 00		2 Related Report No. YM-ARP-95-03	
3 Responsible Organization SNL		4 Discussed With M. Riggins/ D. Kessel	
5 Requirement: QAIP 6-3, Section 5.2, Step 1 states, (Reviewers) "Shall conduct the review in accordance with specified criteria and shall document comments on the DRC form." Section 3.1, states in part, "Technical Review:": "Technical reviews are in-depth critical reviews, analyses, and evaluations of documents, material, or data that require technical verification and/or validation for applicability, correctness, adequacy, and completeness." QAIP 20-2, Section 4.1, third bullet, 4. states, "A description of the work performed and results obtained, names of individuals performing the work, and dated initials or signature, as appropriate, of individuals making the entries."			
6 Adverse Condition: Contrary to the above requirement, a technical review of SLTR94-0001 did not identify the following deficient conditions: 1. The values for displacement (P), pressure (q), and modulus (E) for Test #1239 on page 5-22 of SLTR94-0001 are not consistent with these same values on page #4267 of the Scientific Notebook. It was determined that the values "P", "q", and "E" in the SLTR document are in error for Test #1239. The correct values on page #4267 of the Scientific Notebook are recalculated checking analysis values, whereas, the erroneous values in the SLTR are from the original calculations which are not provided in the Scientific Notebook. 2. SLTR94-001, Page 5-3, Figure 5.1, and Page 5-4, Section 5.2.1: The Standard Penetration Test (SPT) blow count data presented in Figure 5.1, was not corrected for overburden pressures and there is no documentation of that fact on this figure. The SLTR does state on Page 5-4 that "the SPT values are not corrected for overburden pressure", however, this same statement needs to be made on Figure 5.1 where the SPT blow count data is presented. This			
9 Does a Significant Condition Adverse to Quality exist? Yes ___ No <u>X</u> If Yes, Check One: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/> E		10 Does a stop work condition exist? Yes ___ No <u>X</u> ; If Yes - Attach copy of SWO If Yes, Check One: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
13 Response Due Date: 20 Working Days From Issuance			
11 Required Actions: <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Extent of Deficiency <input checked="" type="checkbox"/> Preclude Recurrence <input type="checkbox"/> Root Cause Determination			
12 Recommended Actions: 1. Correct all deficiencies identified in the SLTR94-0001. 2. Evaluate the adequacy of the review process for SLTR's. 3. Evaluate the impact that these deficient conditions will have on the designs or studies supported by this work.			
7 Initiator William Sublette <i>WR Sublette</i> 12/19/94		14 Issuance Approved by <i>WR Sublette</i> QADD <i>WR Sublette</i> Date 12-15-94	
15 Response Accepted QAR _____ Date _____		16 Response Accepted QADD _____ Date _____	
17 Amended Response Accepted QAR <i>WR Sublette</i> Date 6/6/95		18 Amended Response Accepted QADD <i>WR Sublette</i> Date 6/6/95	
19 Corrective Actions Verified QAR <i>N/A</i> Date 11/7/95		20 Closure Approved by: <i>WR Sublette</i> QADD _____ Date 11/7/95	

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8 CAR NO.: YM-95-015
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CORRECTIVE ACTION REQUEST (CONTINUATION PAGE)

6 Adverse Condition (continued)

requirement is necessary so that a user will not unwittingly use this data without realizing that it has not been corrected for overburden pressure. In many instances end users will not read the entire document to determine if there are any qualifying factors associated with the data they wish to use, instead they will only look at the figure or table that the data is presented on.

The PI stated that the SPT blow count data was not corrected for overburden pressure since this was not used to estimate soil properties, however, it was used to help identify stratigraphic continuity. If this data is used for establishing stratigraphic continuity, then it is important that this data is adjusted to account for variations in overburden pressures. Generally the SPT blow count data is used as a preliminary exploration method for identifying areas that may require further exploration and characterization. With this in mind, the question should be asked why the SPT blow count data shown on Figure 5.1 for Unit 4 from boreholes NRG-2D and NRG-2C is noticeably less than most other units penetrated. The next step is to look at the moisture contents in Table 5-2 for these same boreholes in Unit 4. It becomes apparent that the moisture contents are high and a further calculation will show that some of these areas in Unit 4 will probably be 100% saturated and stand-up time and bearing capacity could be adversely impacted.

This demonstrates the exploration and collaboration capabilities of the SPT and why this type of data should not be taken lightly and every effort made to provide the most representative SPT blow count data. Correcting for overburden pressure will provide more representative SPT blow count data.

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CORRECTIVE ACTION REQUEST (CONTINUATION PAGE)

Corrective Action Response for CAR # YM-95-015

CAR YM-95-015 states that a technical review of SLTR94-0001 did not identify two deficient conditions and therefore the cited requirements for technical review were violated. It is SNL's position that this is incorrect and no violation of the requirements for reviews (as referenced in the CAR or otherwise) exists. We agree that there was an error in the calculation of displacement which was cited as an adverse condition, but this does not demonstrate failure to comply with review requirements. We furthermore do not agree that an adverse condition exists with respect to our reporting of Standard Penetration Test (SPT) data.

This report went through seven revisions, three documented technical reviews, QA review and a management review prior to being issued. Written documentation of the reviews are project records.

The following actions are being taken to correct the error identified in the calculation of displacement:

The error in calculation will be corrected and an errata sheet issued to those on distribution for the SLTR. The impact of this error will be evaluated and reported with the errata sheet. Initial review indicated that the erroneous value would be conservative and not impact design adversely.

Person responsible for actions: David Kessel

Actions to be complete by: 2/28/95

SNL does not agree that a deficient condition exists with respect to the presentation of SPT data in SLTR94-0001. The CAR states that an adverse condition exists because SPT data was not corrected for overburden pressure. These data were reported as uncorrected and sufficient detail is provided both in the text and on the supporting figure 5.1 (identified as deficient in the CAR). There is no requirement to provide additional processing of this data to remove the effects of overburden. Trends in this data were utilized as discussed in the CAR and are correctly reported in SLTR94-0001.

No further corrective actions are deemed necessary.

Michael C. Brady
1-23-95

EVALUATION OF RESPONSES TO CORRECTIVE ACTION REQUESTS (CAR)
YM-95-015, YM-95-016 AND YM-95-017

Responses to CARs YM-95-015, YM-95-016, and YM-95-017 are rejected. Responses to CARs YM-95-015, YM-95-016, and YM-95-017 shall address the extent of the deficiencies and describe what steps will be taken to preclude recurrence. An amended response shall be submitted to YMQAD.

Responses to CARs should follow a format that addresses each indicated "Required Action" in block 11 of the CAR form. It is unclear from your response which required actions you are addressing and which you feel no action is required. It is recommended that when you submit your amended response, each required action be addressed under separate title.

Specific technical and programmatic justification for rejection are provided below.

YM-95-015 and YM-95-016

The adverse condition does not question whether the review process was performed but questions the effectiveness of the review process. Verification of correctness of data and calculations is an important part of the review process. The Quality Assurance Requirements and Descriptions Document (Section 2.2.9) requires that review "criteria shall consider applicability, correctness, technical adequacy, completeness, accuracy, and compliance with established requirements.

The technical specialist evaluating SLTR94-0001 and the Scientific Notebook looked at a sample of the report and Scientific Notebook content and identified the errors described in these CARs. This evaluation was not comprehensive and therefore, a commitment should be made to determine if additional errors exist and if other information has been left out of the Scientific Notebook. Additionally, your response regarding SPT blow count data stated the following: "these data were reported as uncorrected and sufficient detail is provided both in the test and on the supporting Figure 5.1 (identified as deficient in the CAR)." This statement is incorrect, there is no detail on Figure 5.1 which states that the SPT blow count data is uncorrected for depth.

REMEDIAL ACTION:

Describe actions to be taken to ensure specific errors are corrected. Provide objective evidence that corrections were made.

EXTENT OF DEFICIENCY:

Evaluate the SLTR and Scientific Notebook to ensure that similar errors do not exist.

Determine impact of incorrect data on design analysis.

PRECLUDE RECURRENCE:

Provide improvements to the review process that will prevent these types of errors.

YM-95-017

As stated in the response to CARs YM-95-015 and YM-95-016, the adverse condition does not question whether the review process was performed but questions the effectiveness of the review process.

With regards to Sandia National Laboratories' (SNL) response to not using the most appropriate plate load bearing procedure, American Society for Testing and Materials (ASTM) D 1196 "Standard Test Method for Nonrepetitive Static Plate Load Tests of Soils and Flexible Pavement Components, for Use in Evaluation and Design of Airport and Highway Pavements", it is Quality Assurance's position that this procedure was developed for a specific purpose (highways and airports) and if SNL wants to use this procedure for a purpose for which it is not intended (spread footings) then SNL needs to document their justification for using ASTM D 1196 in place of the more applicable ASTM D 1194 "Standard Test Method for Bearing Capacity of Soil for Static Load and Spread Footings". ASTM would not have developed separate procedures for spread footings versus highways and airports unless they felt that there was significant enough difference in these two loading conditions that would require separate plate load bearing capacity procedures.

It should also be noted that the ASTM subcommittee chairman responsible for these ASTM standard procedures was contacted, and he stated ASTM D 1194 was the procedure that should have been used. In addition, the Study Plan that this work was performed under "Studies to Provide Soil and Rock Properties of Potential Locations of Surface and Subsurface Access Facilities", identified ASTM D 1194 as an appropriate procedure to evaluate the bearing capacity of soil for static loading on spread footings (see Section 2.3.2.3 in Study Plan 8.3.1.14.2).

REMEDIAL ACTION:

1. Provide technical justification for use of ASTM D 1196 instead of D 1194.
2. If technical justification is provided, determine the impact of improperly conducting the test and its effect on design analysis.
3. If a technical justification cannot be provided, determine the impact of using standard procedure ASTM D 1196 and its effect on design analysis.

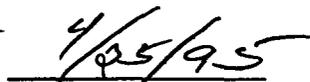
EXTENT OF DEFICIENCY:

1. Evaluate other tests to ensure appropriate testing procedures were specified and implemented properly.

PRECLUDE RECURRENCE:

1. Provide a description of actions to be taken to ensure that technical reviews of test data assures correct implementation of testing procedures.
2. What actions will be taken to ensure that technical reviews evaluate and assure the appropriateness of procedures used for standard testing activities.


William R. Sublette


Date

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⁸ CAR NO. _____
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CORRECTIVE ACTION REQUEST (CONTINUATION PAGE)

CAR YM-95-015

REMEDIAL ACTIONS

The error in the calculation for deformation modulus in the Scientific Notebook were identified and corrected by Mike Riggins during his review of the SN. This error was not corrected in Rev. 6 of the SLTR. The error will be corrected by superseding the SLTR with a SAND Report with corrected data.

The blow count data as reported in figure 5.1 of the SLTR were uncorrected for overburden. This fact was noted in the text supporting this figure. Figure 5.1 will be changed in the SAND Report to indicate that the blow count data are uncorrected.

Responsible Individual: D. S. Kessel
Completion Date: 07/01/95 (submittal for review and publication)

EXTENT OF DEFICIENCY

The error in calculation for deformation modulus was the only such error identified by Mike Riggins in the review of the Scientific Notebook. Failure to correct his error in the SLTR is therefore judged to be an isolated occurrence. The modulus reported in the SLTR was conservative because it was lower than the correct value and therefore would have no adverse impact on design.

A review of the data tables in the SLTR against the corresponding data in the Scientific Notebook will be performed to determine if similar errors in data tables (as for the incorrect modulus value) exist. The reviews will be performed according to QAIP 6-3, Conducting and Documenting Reviews of Documents.

Blow count data were not transmitted to the M&O design group separate from the SLTR. The SLTR explained in text that the blow count data in figure 5.1 were uncorrected for overburden. Furthermore the data were not used in design. The M&O design group will document this in a letter to SNL.

Responsible Individual: D. S. Kessel
Completion Date: 06/15/95

5/24/95 COSTIN TO SPENCE

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⁸ CAR NO. _____
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CORRECTIVE ACTION REQUEST (CONTINUATION PAGE)

CAR YM-95-015

REMEDIAL ACTIONS

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The blow count data as reported in figure 5.1 of the SLTR were uncorrected for overburden. This fact was noted in the text supporting this figure. Figure 5.1 will be changed in the SAND Report to indicate that the blow count data are uncorrected.

Responsible Individual: D. S. Kessel
Completion Date: 07/01/95 (submittal for review and publication)

EXTENT OF DEFICIENCY

The error in calculation for deformation modulus was the only such error identified by Mike Riggins in the review of the Scientific Notebook. Failure to correct his error in the SLTR is therefore judged to be an isolated occurrence. The modulus reported in the SLTR was conservative because it was lower than the correct value and therefore would have no adverse impact on design.

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Responsible Individual: D. S. Kessel
Completion Date: 06/15/95

5/24/95 COSTIN TO SPENCE

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U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

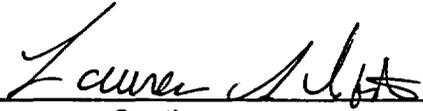
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CORRECTIVE ACTION REQUEST (CONTINUATION PAGE)

PRECLUDE RECURRENCE

QAIP 6-3, Conducting and Documenting Reviews of Documents will be revised. An additional step will be added to the section on "comment resolution" which will require the consideration of the impact on other documents if errors or mandatory changes are noted in the technical review. In addition, QAIP 6-3 will require the use of the Criteria Checklist for technical reviews, and this checklist will be made part of the Document Review and Comment form.

Responsible Individual: J. V. Voigt
Completion Date: 07/01/95



Laurence Costin
SNL YMP Technical Project Officer

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PERFORMANCE/DEFICIENCY REPORT

1 Controlling Document:
QARD, Revision 0; QAIP 1-5, Revision 07; QAIP 6-3, Revision 02

2 Related Report No.
YM-ARP-95-03

3 Responsible Organization:
SNL

4 Discussed With:
M. Riggins/D. Kessell

5 Requirement/Measurement Criteria:
This DR replaces CAR No. YM-95-017

QARD, Sections 2.2.9, A., states, "Review criteria shall be established before performing the review. These criteria shall consider applicability, correctness, technical adequacy, completeness, accuracy, and compliance with established requirements."

QAIP 6-3, Section 5.2, Step 1, states (Reviewers) "Shall conduct the review in accordance with specified criteria and shall document comments on the DRC form."

Section 3.1, states in part, "Technical Review:", "Technical reviews are in-depth critical reviews, analyses, and evaluations of

6 Description of Condition:

Contrary to the above requirements, a technical review of the Scientific Notebook utilized for this study did not identify the following deficient conditions:

- 1) The procedure used to perform the in-situ plate load bearing capacity test was not consistent with the referenced ASTM procedure;
- 2) The ASTM procedure used for performing the in-situ plate load bearing capacity test was not the most appropriate ASTM procedure for application in this study.

Discussion: Documentation in the Scientific Notebook "Characterization of Nonlithified Tuffs, Rainier Mesa and Pre-Rainier Mesa on the West Side of Exile Hill", Pages 4277-4290, does not show that the testing procedure followed the referenced procedure, "Standard Test Method for Nonrepetitive Static Plate Load Tests of Soils and Flexible Pavement Components, for Use

7 Initiator
WR Sublette 11/6/95
William Sublette Date

9 QA Review
WR Sublette 11/6/95
QAR William Sublette Date

10 Response Due Date
N/A

11 QA Issuance Approval
QAR (PRI)/AOQAM (DRI) *R. J. [Signature]* Date 11/7/95

12 Remedial Actions:

See response to CAR YM-95-017

13 Remedial Action Response By:
N/A Date

14 Remedial Action Due Date
N/A Date

15 Remedial Action Response Acceptance
QAR N/A Date

16 PR Verification/Closure
QAR N/A Date

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17 Recommended Actions:

1. Correct all deficiencies identified and evaluate the impacts that this adverse condition will have on the designs or studies that this work supports.
2. Evaluate the adequacy of the review process.
3. Use the appropriate procedure in all further testing.

18 Investigative Actions:

See response to CAR YM-95-017

19 Root Cause Determination:

N/A

20 Action to Preclude Recurrence:

See response to CAR YM-95-017

21 Response by:

N/A Date

22 Corrective Action Completion Due Date:

01/30/96

23 Response Accepted

QAR N/A Date

24 Response Accepted

AOQAM N/A Date

25 Amended Response Accepted

QAR Date

26 Amended Response Accepted

AOQAM Date

27 Corrective Actions Verified

QAR Date

28 Closure Approved by:

AOQAM Date

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5 Requirement/Measurement Criteria:

documents, material, or data that require technical verification and/or validation for applicability, correctness, adequacy, and completeness." QAIP 1-5, Section 4.1, Step 1, 2., b., states, "If a Scientific Notebook (SN) is to be used without a governing TP, then the elements listed below shall be addressed, as applicable to the situation, in the WA, and the SN shall be prepared in accordance with Procedure 20-2.

b. Identification of applicable standards and criteria.

6 Description of Condition:

in Evaluation and Design of Airport and Highway Pavements" (ASTM D-1196-87). This procedure is identified as a nonrepetitive test procedure, however, as noted on pages 4286-4290 the test was performed in a cyclic loading and unloading repetitive process. Contributing further to the problem is that the most appropriate ASTM test procedure, for the loading condition being addressed, was not used. ASTM D 1194-72, "Standard Test Method for Bearing Capacity of Soil for Static Load and Spread Footings", would have been a more appropriate test procedure for use in meeting the objectives of the study. It should also be noted that ASTM D 1194-72 states that if saturated conditions are expected, then it is recommended that prior to testing the soil be saturated to a depth not less than twice the diameter of the largest bearing plate. Another problem noted on pages 4277-4290 was that there is inadequate documentation showing that plates were properly set as per the referenced procedure (Section 4.4 in ASTM D 1196-87).

NOTE: This DR is issued to supercede CAR YM-95-017 in order to implement the revised OCRWM Corrective Action Program.

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8 CAR NO. YM-95-017
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 QA

CORRECTIVE ACTION REQUEST (CONTINUATION PAGE)

Conditions adverse to quality identified in this CAR are transferred to
DR YMQAD-96-D002 in order to implement the revised OCRWM Corrective Action
Program. This CAR is considered closed.

WR Sublett
QAR

11/2/95
Date

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8 CAR NO.: YM-95-017
PAGE: 1 OF 2
QA

CORRECTIVE ACTION REQUEST

1 Controlling Document QARD, Revision 0, QAIP 1-5, Revision 07, QAIP 6-3, Revision 02		2 Related Report No. YM-ARP-95-03	
3 Responsible Organization SNL		4 Discussed With M. Riggins/D. Kessel	
5 Requirement: QARD, Sections 2.2.9, A., states, "Review criteria shall be established before performing the review. These criteria shall consider applicability, correctness, technical adequacy, completeness, accuracy, and compliance with established requirements." QAIP 6-3, Section 5.2, Step 1, states, (Reviewers) "Shall conduct the review in accordance with specified criteria and shall document comments on the DRC form." Section 3.1, states in part, "Technical Review:", "Technical reviews are in-depth critical reviews, analyses, and evaluations of documents, material, or data that require technical verification and/or validation for applicability, correctness, adequacy, and completeness."			
6 Adverse Condition: Contrary to the above requirements, a technical review of the Scientific Notebook utilized for this study did not identify the following deficient conditions: 1) The procedure used to perform the in-situ plate load bearing capacity test was not consistent with the referenced ASTM procedure; 2) The ASTM procedure used for performing the in-situ plate load bearing capacity test was not the most appropriate ASTM procedure for application in this study. Discussion: Documentation in the Scientific Notebook "Characterization of Nonlithified Tuffs, Rainier Mesa and Pre-Rainier Mesa on the West Side of Exile Hill", Pages 4277-4290, does not show that the testing procedure followed the referenced procedure, "Standard Test Method for Nonrepetitive Static Plate Load Tests of Soils and Flexible Pavement Components, for Use in Evaluation and			
9 Does a Significant Condition Adverse to Quality exist? Yes ___ No <u>X</u> If Yes, Check One: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/> E		10 Does a stop work condition exist? Yes ___ No <u>X</u> ; If Yes - Attach copy of SWO If Yes, Check One: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
13 Response Due Date: 20 Working Days From Issuance			
11 Required Actions: <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Extent of Deficiency <input checked="" type="checkbox"/> Preclude Recurrence <input type="checkbox"/> Root Cause Determination			
12 Recommended Actions: 1. Correct all deficiencies identified and evaluate the impacts that this adverse condition will have on the designs or studies that this work supports. 2. Evaluate the adequacy of the review process.			
7 Initiator William Sublette <i>W Sublette</i> Date <u>12/15/94</u>		14 Issuance Approved by: <i>[Signature]</i> QADD <i>[Signature]</i> Date <u>12-15-94</u>	
15 Response Accepted QAR <i>[Signature]</i> Date <u>6/6/95</u>		16 Response Accepted QADD <i>[Signature]</i> Date <u>6/6/95</u>	
17 Amended Response Accepted QAR <i>W Sublette</i> Date <u>6/6/95</u>		18 Amended Response Accepted QADD <i>[Signature]</i> Date <u>6-6-95</u>	
19 Corrective Actions Verified QAR <i>N/A</i> Date <u>11/15/95</u>		20 Closure Approved by: <i>[Signature]</i> QADD <i>[Signature]</i> Date <u>11/7/95</u>	

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8 CAR NO.: YM-95-017
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CORRECTIVE ACTION REQUEST (CONTINUATION PAGE)

5 Requirements (continued)

QAIP 1-5, Section 4.1, Step 1, 2., b., states, "If a Scientific Notebook (SN) is to be used without a governing TP, then the elements listed below shall be addressed, as applicable to the situation, in the WA, and the SN shall be prepared in accordance with Procedure 20-2.

b. Identification of applicable standards and criteria.

6 Adverse Condition (continued)

Design of Airport and Highway Pavements" (ASTM D-1196-87). This procedure is identified as a nonrepetitive test procedure, however, as noted on pages 4286-4290 the test was performed in a cyclic loading and unloading repetitive process. Contributing further to the problem is that the most appropriate ASTM test procedure, for the loading condition being addressed, was not used. ASTM D 1194-72, "Standard Test Method for Bearing Capacity of Soil for Static Load and Spread Footings", would have been a more appropriate test procedure for use in meeting the objectives of the study. It should also be noted that ASTM D 1194-72 states that if saturated conditions are expected, then it is recommended that prior to testing the soil be saturated to a depth not less than twice the diameter of the largest bearing plate. Another problem noted on pages 4277-4290 was that there is inadequate documentation showing that plates were properly set as per the referenced procedure (Section 4.4 in ASTM D 1196-87).

15 Recommended Action(s) (continued)

3. Use the appropriate procedure in all further testing.

nrh
10-10-95
12

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⁸ CAR NO. _____
PAGE _____ OF _____
QA

CORRECTIVE ACTION REQUEST (CONTINUATION PAGE)

Corrective Action Response for CAR # YM-95-017

CAR YM-95-017 states that a technical review of the Scientific Notebook "Characterization of Nonlithified Tuffs, Rainier Mesa and Pre-Rainier Mesa on the West Side of Exile Hill" did not identify two deficient conditions and therefore the cited requirements for technical review were violated. It is SNL's position that this is incorrect and no violation of the requirements for reviews (as referenced in the CAR or otherwise) exists. Technical and QA reviews of the scientific notebook were performed in accordance with SNE procedures and written documentation of the reviews are recorded in the Scientific Notebook (see pages 4 232, 6 002, and 6 004). Evidence of these reviews was in the Scientific Notebook and available for this audit.

The plate bearing tests at issue in this CAR were performed by Raytheon Services Nevada (RSN) under RSN's QA program. SNL agrees that RSN did not follow procedure ASTM D 1196 in the performance of the plate load tests. The error identified in block 6, item #1 of this CAR will be corrected by issuing an errata sheet. This errata sheet will identify deviations from the ASTM procedure that were made by RSN. This information will be distributed to those on distribution for SLTK 94-0001 (where these tests were reported). This errata sheet will also be incorporated in the Scientific Notebook. The impact of this error will be evaluated and reported with the errata sheet.

The second adverse condition relates to the use of the appropriate ASTM procedure for plate load tests. There are three ASTM procedures to be considered. Two are for static loading conditions (ASTM D 1194 and ASTM D 1196) and one of these two will be used for all future tests where static loading conditions are anticipated. The third ASTM procedure (D 1195) is most appropriate for designing for cyclic loading conditions and will not be used for developing data for static loading conditions. The impacts from RSN's failure to follow ASTM D 1196 will be evaluated and documented on the above mentioned errata sheet.

Person responsible for action: Mike Riggins
To be completed by: 2/8/95

No further corrective actions on this CAR are considered necessary.

Michael C. Brady
1-23-95

EVALUATION OF RESPONSES TO CORRECTIVE ACTION REQUESTS (CAR)
YM-95-015, YM-95-016 AND YM-95-017

Responses to CARs YM-95-015, YM-95-016, and YM-95-017 are rejected. Responses to CARs YM-95-015, YM-95-016, and YM-95-017 shall address the extent of the deficiencies and describe what steps will be taken to preclude recurrence. An amended response shall be submitted to YMQAD.

Responses to CARs should follow a format that addresses each indicated "Required Action" in block 11 of the CAR form. It is unclear from your response which required actions you are addressing and which you feel no action is required. It is recommended that when you submit your amended response, each required action be addressed under separate title.

Specific technical and programmatic justification for rejection are provided below.

YM-95-015 and YM-95-016

The adverse condition does not question whether the review process was performed but questions the effectiveness of the review process. Verification of correctness of data and calculations is an important part of the review process. The Quality Assurance Requirements and Descriptions Document (Section 2.2.9) requires that review "criteria shall consider applicability, correctness, technical adequacy, completeness, accuracy, and compliance with established requirements.

The technical specialist evaluating SLTR94-0001 and the Scientific Notebook looked at a sample of the report and Scientific Notebook content and identified the errors described in these CARs. This evaluation was not comprehensive and therefore, a commitment should be made to determine if additional errors exist and if other information has been left out of the Scientific Notebook. Additionally, your response regarding SPT blow count data stated the following: "these data were reported as uncorrected and sufficient detail is provided both in the test and on the supporting Figure 5.1 (identified as deficient in the CAR)." This statement is incorrect, there is no detail on Figure 5.1 which states that the SPT blow count data is uncorrected for depth.

REMEDIAL ACTION:

Describe actions to be taken to ensure specific errors are corrected. Provide objective evidence that corrections were made.

EXTENT OF DEFICIENCY:

Evaluate the SLTR and Scientific Notebook to ensure that similar errors do not exist.

Determine impact of incorrect data on design analysis.

PRECLUDE RECURRENCE:

Provide improvements to the review process that will prevent these types of errors.

YM-95-017

As stated in the response to CARs YM-95-015 and YM-95-016, the adverse condition does not question whether the review process was performed but questions the effectiveness of the review process.

With regards to Sandia National Laboratories' (SNL) response to not using the most appropriate plate load bearing procedure, American Society for Testing and Materials (ASTM) D 1196 "Standard Test Method for Nonrepetitive Static Plate Load Tests of Soils and Flexible Pavement Components, for Use in Evaluation and Design of Airport and Highway Pavements", it is Quality Assurance's position that this procedure was developed for a specific purpose (highways and airports) and if SNL wants to use this procedure for a purpose for which it is not intended (spread footings) then SNL needs to document their justification for using ASTM D 1196 in place of the more applicable ASTM D 1194 "Standard Test Method for Bearing Capacity of Soil for Static Load and Spread Footings". ASTM would not have developed separate procedures for spread footings versus highways and airports unless they felt that there was significant enough difference in these two loading conditions that would require separate plate load bearing capacity procedures.

It should also be noted that the ASTM subcommittee chairman responsible for these ASTM standard procedures was contacted, and he stated ASTM D 1194 was the procedure that should have been used. In addition, the Study Plan that this work was performed under "Studies to Provide Soil and Rock Properties of Potential Locations of Surface and Subsurface Access Facilities", identified ASTM D 1194 as an appropriate procedure to evaluate the bearing capacity of soil for static loading on spread footings (see Section 2.3.2.3 in Study Plan 8.3.1.14.2).

REMEDIAL ACTION:

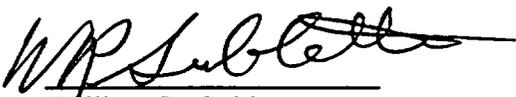
1. Provide technical justification for use of ASTM D 1196 instead of D 1194.
2. If technical justification is provided, determine the impact of improperly conducting the test and its effect on design analysis.
3. If a technical justification cannot be provided, determine the impact of using standard procedure ASTM D 1196 and its effect on design analysis.

EXTENT OF DEFICIENCY:

1. Evaluate other tests to ensure appropriate testing procedures were specified and implemented properly.

PRECLUDE RECURRENCE:

1. Provide a description of actions to be taken to ensure that technical reviews of test data assures correct implementation of testing procedures.
2. What actions will be taken to ensure that technical reviews evaluate and assure the appropriateness of procedures used for standard testing activities.



William R. Sublette

4/25/95

Date

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8 CAR NO. _____
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CORRECTIVE ACTION REQUEST (CONTINUATION PAGE)

CAR YM-95-017

REMEDIAL ACTIONS

The plate load bearing data from SLTR 94-0001 has been submitted as acquired data by TDIF. The RSN Material Test lab performed the plate bearing tests and they were supposed to follow ASTM D 1196. RSN deviated from this procedure as was noted in the CAR. An explanation of the deviations from the ASTM procedure D 1196 and an analysis of the impact of the deviations was included in the TDIF transmitting the test results. A copy of this explanation is attached to this response. The impact of these deviations from ASTM procedure are not considered significant as discussed in the attachment. The SLTR will be issued as a SAND Report and this report will include the attached explanation of deviation from the ASTM procedure and analysis of the impacts.

Responsible Individual: D. S. Kessel
Completion Date: 07/15/95

The second specific issue raised by the CAR regards the appropriateness of the ASTM procedure used for these tests. These tests were performed according to a modified version of ASTM D 1196 using plates as small as 4 inches diameter.

The CAR states that ASTM D 1194 for spread footings would have been more appropriate. We do not agree with this assessment. Neither procedure could be used to generate the required data without modification.

The primary differences between the two procedures are the plate size and the number of test locations. ASTM D 1194 requires 30 inch diameter plates and at least three test locations. ASTM D 1196 was used because it allows the use of plates as small as 6 inches in diameter. D 1196 does not specify the number of tests to be performed although requirement for three test locations in D 1194 was exceeded. Six tests were performed in the Pre-Rainier Mesa Tuff and seven tests were performed in the Rainier Mesa Tuff.

The desired strength parameters were back calculated from the equation for ultimate bearing capacity. In order to determine ultimate bearing capacity the tuff had to be loaded to failure. Plates smaller than 30 inches in diameter were required to produce failure in the tuff material with the largest dead load that could safely be deployed in the bottom of trench NRT-1. In fact, D 1196 had to be modified because a 4 inch diameter plate was required for failure.

The results of these tests were evaluated and determined suitable for the intended use.

5/24/95 COSTIN TO SPENCE

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8 CAR NO. _____
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CORRECTIVE ACTION REQUEST (CONTINUATION PAGE)

EXTENT OF DEFICIENCY

A review of the test data for the other tests performed by RSN and reported in SLTR 94001 will be performed. The tests results will be evaluated against the corresponding ASTM procedure to determine if similar undocumented deviations from ASTM procedures exist.

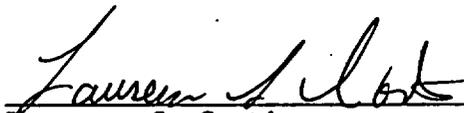
Responsible Individual: D. S. Kessel
Completion Date: 07/15/95

PRECLUDE RECURRENCE

QAIP 6-3, Conducting and Documenting Reviews of Documents will be revised. An additional step will be added to the section on "comment resolution" which will require the consideration of the impact on other documents if errors or mandatory changes are noted in the technical review. In addition, QAIP 6-3 will require the use of the Criteria Checklist for technical reviews, and this checklist will be made part of the Document Review and Comment form.

An exception must be taken to the "recommended action" to preclude recurrence, item 1. There is no action that can be imposed on an individual performing a technical review that will assure testing procedures are implemented correctly, without the technical reviewer being present during the testing. It is believed that the intent of this statement is that the technical reviewer should assess whether the recorded scientific notebook information is consistent with specifics found in the technical procedures.

Responsible Individual: J. V. Voigt
Completion Date: 07/01/95



Laurence S. Costin
SNL YMP Technical Project Officer

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8 Performance Report
 Deficiency Report
NO. YMQAD-96-D003
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PERFORMANCE/DEFICIENCY REPORT

1 Controlling Document: QAIP 17-3, Revision 1	2 Related Report No. YMP-94-09
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3 Responsible Organization: SNL	4 Discussed With: M. Tucker
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5 Requirement/Measurement Criteria:
This DR replaces CAR No. YM-94-093

QAIP 17-3, Revision 1, Section 4.1, Step 7, states the LRC staff "shall complete processing of records/record packages by:...transmitting the records within 30 days of acceptance by the LRC."

6 Description of Condition:
Contrary to the identified requirement, procurement records are not being forwarded to the M&O Records Management Organization (Central Records Facility) for retention but are retained by SNL.

For example, refer to:

Supporting Information for Close-Out Package for Purchase Requisition 23-9583

Supporting Information for Close-Out Package for Purchase Requisition 78-6654

NOTE: This DR is issued to supercede CAR YM-94-093 in order to implement the revised OCRWM Corrective Action Program.

7 Initiator Mary G. McDaniel <i>Mary G. McDaniel</i> Date 11/2/95	9 QA Review Mary G. McDaniel <i>Mary G. McDaniel</i> Date 11/2/95
---	---

10 Response Due Date N/A	11 QA Issuance Approval QAR (PR)/AOQAM (DR) <i>PC Spence</i> Date 11/7/95
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12 Remedial Actions:
See response to CAR YM-94-093

13 Remedial Action Response By: N/A Date	14 Remedial Action Due Date N/A Date
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15 Remedial Action Response Acceptance QAR N/A Date	16 PR Verification/Closure QAR N/A Date
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8
DR NO. YMQAD-96-D003
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DEFICIENCY REPORT

17 Recommended Actions:

Take action to submit procurement records to CRF or identify in appropriate SNL procedures how quality-related procurement records are being managed and preserved. Address applicable requirements of QARD DOE/RW-0333P.

18 Investigative Actions:

See response to CAR YM-94-093

19 Root Cause Determination:

N/A

20 Action to Preclude Recurrence:

See response to CAR YM-94-093

21 Response by:

N/A Date

22 Corrective Action Completion Due Date:

05/01/2000

23 Response Accepted

QAR N/A Date

24 Response Accepted

AOQAM N/A Date

25 Amended Response Accepted

QAR Date

26 Amended Response Accepted

AOQAM Date

27 Corrective Actions Verified

QAR Date

28 Closure Approved by:

AOQAM Date

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PR/DR CONTINUATION PAGE

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8 CAR NO.: YM-94-093

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CORRECTIVE ACTION REQUEST (CONTINUATION PAGE)

Conditions adverse to quality identified in this CAR are transferred to
DR YMQAD-96-D003 in order to implement the revised OCRWM Corrective Action
Program. This CAR is considered closed.

QAR

Margaret M. Samuel

Date

11/2/95

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8 CAR NO.: YM-94-093
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CORRECTIVE ACTION REQUEST

1 Controlling Document QAP 17-3, Revision 1		2 Related Report No. YMP-94-09	
3 Responsible Organization SNL		4 Discussed With M. Tucker	
5 Requirement: QAP 17-3, Revision 1, Section 4.1, Step 7. states the LRC staff "...shall complete processing of records/record packages by:...transmitting the records within 30 days of acceptance by the LRC."			
6 Adverse Condition: Contrary to the identified requirement, procurement records are not being forwarded to the M&O Records Management Organization (Central Records Facility) for retention but are retained by SNL. For example, refer to: Supporting Information for Close-Out Package for Purchase Requisition 23-9583 Supporting Information for Close-Out Package for Purchase Requisition 78-6654			
9 Does a Significant Condition Adverse to Quality exist? Yes ___ No <u>X</u> If Yes, Check One: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/> E		10 Does a stop work condition exist? Yes ___ No <u>X</u> ; If Yes - Attach copy of SWO If Yes, Check One: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
13 Response Due Date: 20 Working Days From Issuance			
11 Required Actions: <input checked="" type="checkbox"/> Remedial <input checked="" type="checkbox"/> Extent of Deficiency <input checked="" type="checkbox"/> Preclude Recurrence <input type="checkbox"/> Root Cause Determination			
12 Recommended Actions: Take action to submit procurement records to CRF or identify in appropriate SNL procedures how quality-related procurement records are being managed and preserved. Address applicable requirements of QARD DOE/RW-0333P.			
7 Initiator Mary G. McDaniel		14 Issuance Approved by: QADD <i>[Signature]</i> for Date 9.12.94	
15 Response Accepted QAR <i>[Signature]</i> Date 11/21/94		16 Response Accepted QADD <i>[Signature]</i> for Date 11.29.94	
17 Amended Response Accepted QAR _____ Date _____		18 Amended Response Accepted QADD _____ Date _____	
19 Corrective Actions Verified QAR <i>N/A</i> <i>11/3/95</i> Date		20 Closure Approved by: QADD <i>[Signature]</i> Date 11/7/95	

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8 CAR NO.: YM-94-093
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CORRECTIVE ACTION REQUEST (CONTINUATION PAGE)

CAR YM-94-093

A. Remedial Action

A plan for submittal of existing procurement records to the CRF will be developed and initiated based on the results and actions described in D below. (Responsible Individual: Peggy Warner; Anticipated Completion Date: January 15, 1995).

B. Extent of the Deficiency

All QA and Non-QA procurement records are handled the same because the process has been documented in an informal Memo of Understanding between the Project Procurement Specialists and the Records Management staff. Therefore, this deficiency affects all procurement records.

D. Corrective Action to Preclude Recurrence

Background Information: Records were not being forwarded because of company proprietary information (e.g., salaries, formulas to determine contractor loads, etc.) contained in the records. The release of YAP 17-1Q (dated 5/31/94) allows for intentional obliteration of such proprietary information.

A PQMT (Process Quality Management Team) has been formed and procedures (QAIP 4-1 and QAIP 17-3) will be revised or new procedures developed to include the process agreed upon by this team. Objectives of the PQMT are as follows:

- To identify those procurement records that need to go forward (QA and Non-QA) to the CRF.
- To identify those procurement records that can be kept by Sandia and destroyed per the OCRWM RIDS.
- Develop a plan for submittal of existing procurement records. (Responsible Individual: Peggy Warner; Anticipated Completion Date: January 15, 1995)


L. E. Shephard 10/12/94
SNL YMP Technical Project Officer

**Amended Reponse for CAR YM-94-093
for Section D., "Corrective Action to Preclude Recurrence"**

D. Corrective Action to Preclude Recurrence

A PQMT (Process Quality Management Team) has been formed and a Procedure Action Request will be completed for procedures QAIP 4-1 and QAIP 17-3 to include the process agreed upon by this team. Objectives of the PQMT are as follows:

- To identify those procurement records that need to go forward(QA and Non-QA) to the CRF.
- To identify those procurement records that can be kept by SNL and destroyed per the OCRWM RIDS.
- Develop a plan for submittal of existing procurement records.

Responsible Individual: Peggy Warner, Anticipated Completion Date: 01/15/95.

REVISED 2/6/95
REVISED 1/26/1995
SNL YMP PROCUREMENT RECORDS PROCESSING PLAN
January 9, 1995

The following plan has been prepared in response to CAR YM 94-093 (YMP 94-09) "Procurement documents are not being forwarded to the M&O records management organization (CRF) for retention but are retained by SNL".

SNL YMP PROCUREMENT RECORDS PROCESSING PLAN

Step 1

An ICN has been issued to QAIP 4-1 which designates those records which are QA or YMP Project relevant for processing and submittal to the CRWMS M&O records management organization Central Records Facility (CRF). Records not designated in the procedure will be maintained by the Procurement Section of the SNL Organization 6352 Support Services, for in office implementation of the SNL Corporation and/or the Office of Civilian Radioactive Waste Management (OCRWM) retention and disposition schedules.

The following records will be included in the Procurement Records Package for submittal to the YMP CRF if the Procurement activity causes them to be generated.

- Procurement Request
- Procurement Planning Checklist (PPC)
- Request for Quotation/Proposal
- Contract
- Change Request
- Amendments
- Invoice Actions for QA items or services
- Correspondence
- SNL Approved Contractor Travel Authorization

Step 2

An ICN has been issued to QAIP 17-3 which designates identification and handling of these records as "Proprietary".

Step 3

January 3, 1995 Local Record Center staff initiated the process of reviewing each existing procurement file to separate those records which will be processed on to the CRWMS M&O CRF from those which will be maintained by the Procurement Section of SNL Organization 6352 Support Services for SNL Corporation needs. Existing records are being reviewed for submittal based upon available manpower as budget allocations permit. Existing records are presently maintained in dual storage thus no loss of records will be experienced during this time intensive review process. Current records are being processed per the ICN's

identified in Step 1 and Step 2 of this plan.
The Proposed Schedule for Procurement Records Processing is submitted below:

- STEP 1: Review the inventory sheets for procurement boxes which are stored in the SNL Inactive Records Storage Facility to determine the total number of boxes of YMP Procurement Records. This will be accomplished by 1 May 1995.
- STEP 2: Based on this investigation we will establish a schedule listing the number of boxes we feel we can realistically review and process by the end of FY 1995, followed by the number we anticipate closeing during FY 1996, and FY 1997. This schedule will take into account our budget and manpower constraints.
- STEP 3: Initially process records which are dated after the approval date for the SNL QA program (November 1988).
- STEP 4: Records created prior to November 1988 will be processed into the system under the guidelines in YQP 17.1Q Rev. 00, Attachment 9.7, covering Backlog Records Submittal. The records are stored in the SNL Inactive Records Storage Facility and at this time are not scheduled for any destruction by SNL. When the SNL RIDS are approved we will process these records to meet both the project concerns and the disposition of nonproject records. This will provide for the most efficient use of personnel.

u.s. 1.2.11
Qn

Sandia National Laboratories

YUCCA MOUNTAIN PROJECT MANAGEMENT DEPARTMENT

Les E. Shephard, Manager
P.O. Box 5800
Mail Stop 1333
Albuquerque, NM 87185

Verify: 505-848-0819
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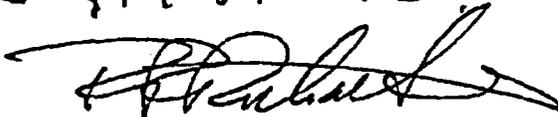
Facsimile Cover Sheet

To:	Bob Constable, YMAAD
	Deborah Sult, QRTSS
Phone:	
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Date: 1/31/95
Pages (including this cover page): 5

GForms YMPFAX

Comments: Please accept this as "formal
submission" of the accompanying documents
related to CAR YM 94-093



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REVISED 1/26/1995
SNL YMP PROCUREMENT RECORDS PROCESSING PLAN
January 9, 1995

The following plan has been prepared in response to CAR YM 94-093 (YMP 94-09) "Procurement documents are not being forwarded to the M&O records management organization (CRF) for retention but are retained by SNL".

SNL YMP PROCUREMENT RECORDS PROCESSING PLAN

Step 1

An ICN has been issued to QAIP 4-1 which designates those records which are QA or YMP Project relevant for processing and submittal to the CRWMS M&O records management organization Central Records Facility (CRF). Records not designated in the procedure will be maintained by the Procurement Section of the SNL Organization 6352 Support Services, for in office implementation of the SNL Corporation and/or the Office of Civilian Radioactive Waste Management (OCRWM) retention and disposition schedules.

The following records will be included in the Procurement Records Package for submittal to the YMP CRF if the Procurement activity causes them to be generated.

- Procurement Request
- Procurement Planning Checklist (PPC)
- Request for Quotation/Proposal
- Contract
- Change Request
- Amendments
- Invoice Actions for QA items or services
- Correspondence
- SNL Approved Contractor Travel Authorization

Step 2

An ICN has been issued to QAIP 17-3 which designates identification and handling of these records as "Proprietary".

Step 3

January 3, 1995 Local Record Center staff initiated the process of reviewing each existing procurement file to separate those records which will be processed on to the CRWMS M&O CRF from those which will be maintained by the Procurement Section of SNL Organization 6352 Support Services for SNL Corporation needs. Existing records are being reviewed for submittal based upon available manpower as budget allocations permit. Existing records are presently maintained in dual storage thus no loss of records will be experienced during this time intensive review process. Current records are being processed per the ICN's identified in Step 1 and Step 2 of this plan.

The Proposed Schedule for Procurement Records Processing is submitted below:

- STEP 1: Review the inventory sheets for procurement boxes which are stored in the SNL Inactive Records Storage Facility to determine the total number of boxes of YMP Procurement Records. *Complete by 1 May 1995.*
- STEP 2: Based on this investigation we will establish a schedule listing the number of boxes we feel we can realistically review and process by the end of FY 1995, followed by the number we anticipate closing during FY 1996, and FY 1997. This schedule will take into account our budget and manpower constraints.
- STEP 3: Initially process records which are dated after the approval date for the SNL QA program (August 1989).
- STEP 4: We do not see a need to send in those records prior to the approval of the SNL QA program as the records are stored in the SNL Inactive Records Storage Facility and at this time are not scheduled for any destruction by SNL. When the SNL RIDS are approved we will explore the disposition of these records.

Steps 2, 3 & 4 will be based on completion of step 1. Preliminary estimate of total closure is 1 May 2000.



Sandia National Laboratories

YUCCA MOUNTAIN

YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT

Interim Change Notice (ICN)

ICN Number 01

Page 1 of 1

Document Type And Number QAIP 4-1 Current Revision 06

Title Procurement

Description and Rationale for Change:

5.0 Records
 Delete the 2nd paragraph
 *The QA Records, record package segments, and record packages include:
 • Purchase Requisitions
 • Procurement Planning Checklist
 • Request(s) for Quotations
 • Contracts (includes contracts that Purchasing refers to as Purchase Orders)
 • Change Requisitions
 • Change Amendments to Contracts
 • All support documentation (e.g. sole-source/sole-make justification forms or memorandums, acquisition plans, results of proposal evaluations, etc.)

Add a New paragraph 2
 The following records will be included in the Procurement Records Package for submittal to the YMP CERF as the Procurement activity causes them to be generated.
 Procurement Planning Checklist (PPC)
 Procurement Request
 Request for Quotation/Proposal
 Contract
 Change Request
 Amendments
 Invoice Actions for QA items or services
 Correspondence
 SNL Approved Contractor Travel Authorization

All other procurement records generated by the SNL YMP Project will be retained by the SNL YMP Procurement section of SNL Organization 4352 Support Services and dispositioned under the rules of the OCRWM RIDS and SNL Corporate RIDS.

(Identify the ICN by number next to the affected paragraph, insert change, if desired, and file ICN with the affected document.)

Approvals:

Author Maureen R. Tucker Date 1/12/95

QA Reviewer J. P. [Signature] Date 1/12/95

Department Manager [Signature] Date 1/18/95

SNL YMP Technical Project Officer Bob A. Dockery for LES Date 1/13/95

Note: Signatures on this document indicate that all comments have been resolved and incorporated.

SNL YMP CONTROLLED DOCUMENT (If Numbered in Red Ink)

Effective Date _____

Copy Number: _____



Sandia National Laboratories



YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT

Interim Change Notice (ICN)

ICN Number 01

Page 1 of 1

Document Type And Number QAIP 17-3 Current Revision REV 02

Title Processing, Storing, & Protecting YMP QA Records

Description and Rationale for Change: To Section 4.1, #5, 2nd bullet, (1) after WBS Number Add the following

- "Privileged" designations for procurement records.

To Section 4.1, #9, 3rd bullet, delete Add new 3rd bullet

- attaching a special instruction sheet to unique, training and procurement records and including one in the transmittal package to identify those being transmitted under separate cover;

To Section 4.2, #5, 2nd bullet, "after all privileged" Add the following

(DOE-28, procurement records),

Rationale: To respond to CAR YM-94-093 (Identify the ICN by number next to the affected paragraph, insert change, if desired, and file ICN with the affected document.)

Approvals:

Author: [Signature] Date: 1/13/95
QA Reviewer: [Signature] Date: 1/12/95
Department Manager: [Signature] Date: 1/13/95
SNL YMP Technical Project Officer: [Signature] Date: 1/13/95

Note: Signatures on this document indicate that all comments have been resolved and incorporated.

SNL YMP CONTROLLED DOCUMENT (If Numbered in Red Ink)

Effective Date

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