

CONTROL FOR CORRECTIVE ACTION

QUALITY ASSURANCE DETAILED PROCEDURE QP-04  
NUCLEAR WASTE MANAGEMENT QUALITY ASSURANCE PROGRAM

U.S. GEOLOGICAL SURVEY

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DATE

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1/24/84  
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## CONTROL FOR CORRECTIVE ACTION

### 1. PURPOSE

The purpose of this procedure is to establish a system for identifying, determining the cause, and providing corrective action for significant conditions adverse to quality.

### 2. SCOPE

This procedure provides instructions for controlling corrective actions from significant condition identification through closeout for all projects and tasks within the USGS nuclear waste management program and shall be used by USGS personnel or by contractors to the USGS.

### 3. PROCEDURE

#### 3.1 Initiation

Any person assigned to a project or task subject to quality assurance requirements is responsible for identifying a significant or recurring discrepancy which needs corrective action. He may discuss the situation with his supervisor for clarification. If the person still feels that the situation needs correction, a Corrective Action Report (CAR), Attachment 1, is initiated by completing sections 1 through 6 of the Corrective Action Report. The CAR is forwarded to the Principal Investigator in charge of the affected area or his delegate. Periodic examination of Nonconformance Reports, Audit Reports, or other documents usually show the need for a CAR but a CAR may be issued as a result of any observation which discloses a significant or recurring condition.

#### 3.2 Quality Assurance Approval and Logging

After review by the appropriate Principal Investigator or his delegate, the CAR is forwarded to the quality assurance office for approval in sections 7 and 8. The CAR is given a sequential number and logged in the CAR Status Log (Attachment 2).

#### 3.3 Proposed Corrective Action

The CAR is next forwarded to the Principal Investigator or his delegate who provides a proposed Corrective Action in section 9, if possible, and signs and dates the report in sections 10 & 11. The proposed Corrective Action may be added at an earlier step by the initiator. The CAR then is forwarded to the Quality Assurance Manager or his delegate for determination of need of Quality Assurance Review Board action.

### 3.4 QA Review Board Action

The QA Review Board consists of two permanent members: the Project Coordinator and the Quality Assurance Manager or their delegates. Additional members may be added to the board when invited by the permanent members for their technical assistance or expertise.

The Quality Assurance Manager shall review the CAR and decide if QA Review Board Action is necessary. If so the QA Review Board shall either approve the proposed corrective action or provide a corrective action statement in section 9 of the CAR. Approval and date are documented in sections 12 through 19 and the CAR is forwarded to quality assurance office for verification of the Corrective Action. Copies of the CAR may be forwarded to USGS management at this time if appropriate.

If the Quality Assurance Manager decides that QA Review Board Action is not necessary the CAR shall be approved and dated in sections 14 and 15, and marked N/A in the remaining QA Review Board approval blocks. The CAR is next forwarded to the quality assurance office for Corrective Action verification.

### 3.5 Corrective Action Verification

After implementation of the Corrective Action the Quality Assurance Specialist or Engineer verifies that the action has been taken, signs and dates the CAR in sections 20 and 21, and gives the report to the Quality Assurance Manager for final approval.

The Quality Assurance Manager reviews the CAR for completeness and effectiveness of Corrective Action, approves and dates the report in sections 22 and 23, and is responsible for distribution, logging and filing of the report.

## 4. REVISIONS

If revisions to the CAR are necessary at any time during the process, a new CAR form shall be initiated marking the revised form R1, R2, etc, as appropriate. The revised CAR is processed as was the original. Quality assurance personnel will keep a historical file.

## 5. CAR STATUS LOG

The CAR Status Log shall be updated as necessary by the Quality Assurance Staff. Copies of the log shall be distributed to management monthly.

1. NCR number(s) which require Corrective Action if applicable.
2. Audit number(s) which require Corrective Action if applicable.
3. Other reason for Corrective Action if applicable.
4. Description and Cause of the item or event requiring Corrective Action. Use enough detail to sufficiently describe the problem.
5. Signature of Originator.
6. Date CAR was Originated.
7. Signature denoting approval by quality assurance.
8. Date of Quality Assurance Approval.
9. Corrective Action - To be inserted by the Principal Investigator or the QA Review Board.
10. thru 17. Approval signature of QA Review Board and Date of Approval.
18. Signature by Quality Assurance verifying that Corrective Action was accomplished.
19. Date of Quality Assurance Verification.
20. Signature of Quality Assurance Manager denoting final approval of the CAR.
21. Date of Final Approval.

**ATTACHMENT #1  
CORRECTIVE ACTION REPORT**

CAR # \_\_\_\_\_

<b>IDENTIFICATION</b>		1. NCR# _____	2. Audit# _____	3. Other _____
4. Description and Cause of Item or Event Requiring Corrective Action:				
5. Originator		6. Date	7. Q.A Approval	8. Date
<b>CORRECTIVE ACTION</b>		9. Action Proposed to Preclude Repetition		
<b>REVIEW BOARD APPROVAL</b>		10. Principal Investigator	11. Date	
Project Coordinator	13. Date	14. Q.A. Manager	15. Date	
16. Other	17. Date	18. Other	19. Date	
<b>CORRECTIVE ACTION VERIFICATION</b>		20. Q.A. Approval	21. Date	
<b>FINAL APPROVAL</b>		22. Q.A. Approval	23. Date	
<b>COMMENTS</b>				
<b>DISTRIBUTION</b>				

ATTA IT #2  
CAR STATUS LOG

NWM-USG 94, R1

CAR #	Date Initiated	Description of CAR	Date Corrective Action Approved	Date CAR Closed Out	Comments