

NNWSI-USGS DOCUMENT TRANSMITTAL NOTICE

To: J. Kennedy Participant No. 134
Nuclear Regulatory Commission
7915 Eastern Avenue
Silver Spring, MD 20910

Date: October 28, 1988

From: Joe R. Willmon, Quality Assurance Manager, U.S. Geological Survey

The following documents are being transmitted.

DOCUMENT No., Rev.	TITLE
QMP-2.05,R2	Qualification of Audit and Surveillance Personnel
QMP-12.01,R2	Instrument Calibration
QMP-15.01,R2	Control of Nonconforming Items

Replace pages ii through v of the Management Procedures Manual (MPM), consisting of the Table of Contents, with the enclosed pages marked ii through v.

Instructions: All revisions numbered 1 or higher supersede an earlier revision which is to be removed from your files and destroyed or marked "superseded."

Participant's Remarks:

The material listed has been received and handled as instructed.

Name _____
(Signature of addressee or designee)

Date _____
8811140100 881028
PDR WASTE
WM-11 PDC

RETURN WITHIN 30 DAYS TO:
USGS QA Manager, Branch of NNWSI
U.S. Geological Survey, MS-421
Denver Federal Center, Box 25046
Lakewood, Colorado 80225

WHO'S 1/1

MANAGEMENT PROCEDURES MANUAL

TABLE OF CONTENTS

	<u>Page No.</u>
Assignment Control Sheet	i
Table of Contents	ii-vi
Statement of Policy	vii
Revision Record	viii

Document Number

CHAPTER 1 - ORGANIZATION AND INTERFACES

Section 1 - Organization Procedure	QMP-1.01, R1
Section 2 - Stop Work Authority	QMP-1.02, R0
Section 3 - ESF Interface Procedure	QMP- Planned
Section 4 - Site Integration Interface	QMP- Planned
Section 5 - Protocol With NNWSI-USGS	AMP- Planned
Section 6 - Interaction Outside NNWSI	QMP- Planned

CHAPTER 2 - QUALITY ASSURANCE PROGRAM

[See also Chapter 4 for other training procedures]

Section 1 - Management Assessment of the NNWSI-USGS Quality Assurance Program	QMP-2.01, R1
Section 2 - Indoctrination and Training	QMP-2.02, R1
Section 3 - Certification of USGS and USGS Contractor Personnel for the NNWSI Project	QMP-2.03, R1
Section 5 - Qualification of Audit and Surveillance Personnel	QMP-2.05, R2
Section 6 - Review and Approval of Subcontractor Quality Assurance Programs	QMP- Planned
Section 7 - Quality Assurance Tracking System	QMP- Planned

TABLE OF CONTENTS - (continued)

CHAPTER 3 - SCIENTIFIC INVESTIGATION AND DESIGN CONTROL

[See also Chapter 5 for related procedures]

Section 1 - Procedure for Identification of Research/ Experimental Activities	QMP-3.01, R1
Section 2 - USGS QA Levels Assignment (QALA)	QMP-3.02, R1
Section 3 - Scientific and Engineering Software	QMP-3.03, R0
Section 4 - Technical Review of NNWSI-USGS Publications	QMP-3.04, R1
Section 5 - Work Request for NTS Contractor Services (Criteria Letter)	QMP-3.05, R1
Section 6 - Scientific Investigation Plan	QMP-3.06, R0
Section 7 - Technical Review Procedure	QMP-3.07, R0
Section 8 - Close-out Verification for Scientific Investigations	QMP- Planned
Section 9 - Preparation of Draft Study Plans	QMP- Planned

CHAPTER 4 - ADMINISTRATIVE OPERATIONS AND PROCUREMENT

[See also Chapter 2 for indoctrination, training, and certification]

Section 1 - Procurement Document Control	QMP-4.01, R1
Section 2 - Major Systems Acquisition Report	AMP- Planned
Section 3 - Travel	AMP- Planned
Section 4 - Property Control	AMP- Planned
Section 5 - Imprest Funds	AMP- Planned
Section 6 - Payroll Forms	AMP- Planned
Section 7 - Training Requests Processing	AMP- Planned

CHAPTER 5 - INSTRUCTIONS, PROCEDURES, PLANS, AND DRAWINGS

[See also Chapter 3 for related procedures]

Section 1 - Preparation of Technical Procedures	QMP-5.01, R1
Section 2 - Preparation and Control of Drawings and Sketches	QMP-5.02, R0

TABLE OF CONTENTS - (continued)

CHAPTER 5 (continued)

- Section 3 - Development and Maintenance of Quality Management Procedures . . . QMP-5.03, R2
- Section 4 - Preparation and Control of the USGS QA Program Plan . . . QMP- Planned
- Section 5 - Instructions for Scientific Notebooks QMP- Planned

CHAPTER 6 - DOCUMENT CONTROL

[See also Chapter 3 for review, Chapter 8 for control of data, Chapter 17 for records management, and Chapter 19 for WMPO reporting requirements]

- Section 1 - Document Control QMP-6.01, R1
- Section 2 - Publication Clearance AMP- Planned
- Section 3 - Distribution of Information Products AMP- Planned
- Section 4 - Release of Unpublished Information AMP- Planned
- Section 5 - Response to Discovery Requests AMP- Planned

CHAPTER 7 - CONTROL OF PURCHASED ITEMS AND SERVICES

- Section 1 - Supplier Evaluation, Selection and Control QMP-7.01, R0
- Section 2 - Receiving Inspection QMP-7.02, R0
- Section 3 - Acceptance of Materials, Equipment and Services QMP-7.03, R0

CHAPTER 8 - IDENTIFICATION AND CONTROL OF ITEMS, SAMPLES AND DATA

[See also Chapter 19 for NNWSI-USGS Monthly Technical Data Transfer Report]

- Section 1 - Identification and Control of Samples QMP-8.01, R2
- Section 2 - Control of Data QMP- Planned
- Section 3 - Acceptance of Data Not Developed Under the NNWSI QA Plan QMP- Planned

TABLE OF CONTENTS - (continued)

CHAPTER 9 - CONTROL OF PROCESSES

Section 1 - Special Processes QMP-9.01, R0

CHAPTER 10 - INSPECTION

Section 1 - Surveillance Procedure QMP-10.01, R1

CHAPTER 11 - TEST CONTROL

Section 1 - Preparation and Issuance of Tentative. QMP-11.01, R1
Technical Procedures

CHAPTER 12 - CONTROL OF MEASURING AND TEST EQUIPMENT

Section 1 - Instrument Calibration QMP-12.01, R2

CHAPTER 13 - HANDLING, SHIPPING, AND STORAGE

Section 1 - Handling, Storage, and Shipping of QMP-13.01, R0
Instruments

CHAPTER 14 - INSPECTION, TEST AND OPERATING STATUS

. No Procedures

CHAPTER 15 - CONTROL OF NONCONFORMING ITEMS

Section 1 - Control of Nonconforming Items QMP-15.01, R2

Section 2 - Procedure for Control of Unusual QMP-15.02, R0
Occurrences

CHAPTER 16 - CORRECTIVE ACTION

Section 1 - Control of Corrective Action Reports QMP-16.01, R2

Section 2 - Stop Work Authority QMP- Planned

Section 3 - Trend Analysis QMP-16.03, R0

MANAGEMENT PROCEDURES MANUAL

CHAPTER 2 - QUALITY ASSURANCE PROGRAM

SECTION 5 - QUALIFICATION OF AUDIT AND SURVEILLANCE PERSONNEL

1. PURPOSE. To delineate the system for the qualification of designated personnel who conduct or lead QA audits or surveillances for the USGS on the Yucca Mountain Project.
2. SCOPE OF COMPLIANCE. This procedure applies to USGS and USGS contractor personnel who conduct or participate in surveillances (QMP-18.02) or audits (QMP-18.01) for the USGS on the YMP. Qualification of observers is not required.
3. DEFINITIONS.
 - 3.1 Auditor: An individual qualified to perform a portion of an audit. Auditors may include lead auditors, management representatives, technical specialists, or auditors-in-training.
 - 3.2 Auditor-In-Training: An individual who has not met the full requirements of qualification as an auditor.
 - 3.3 Audit or Surveillance Team Leader: An individual designated by the USGS QA Manager to direct the activities of a team of personnel performing an audit or surveillance. For USGS audits, an Audit Team Leader will be a certified Lead Auditor.
 - 3.4 Certification (Personnel): The act of determining, verifying, and/or attesting in writing to the qualifications of personnel in accordance with specified requirements.
 - 3.5 Lead Auditor: An individual qualified to organize and direct an audit, conduct audit meetings, report audit findings and evaluate corrective actions.
 - 3.6 Lead Auditor-In-Training: An individual who has not met the full requirements of qualification as a Lead Auditor.
 - 3.7 Observer: An individual recognized by the auditing organization as a non-participating member of an audit or surveillance team. The Observer will accompany the team, and will only observe the activities of the audit team and the audited organization.
 - 3.8 Qualification (Personnel): The characteristics or abilities that are gained through education, training, or experience, which are measured against established requirements, such as standards or tests, that qualify an individual to perform a required function.

102.7
WM-11
NH03 1/2

- 3.9 Surveillance Personnel: Qualified individuals designated by USGS management to conduct or lead surveillances.
 - 3.10 Technical Specialists: An individual with a recognized technical knowledge or special expertise or experience that is considered adequate to evaluate technical work during an audit or surveillance.
4. RESPONSIBILITIES.
- 4.1 The USGS QA Manager, or delegate, has the responsibility to certify Auditors, Lead Auditors, and surveillance personnel in conformance with this procedure. Responsibilities include assuring that assigned personnel have the experience or training commensurate with the scope, complexity, or special nature of the activities to be examined, and maintaining and updating the qualification records of the assigned personnel.
 - 4.2 The Chief, Branch of YMP, or delegate, has the responsibility to coordinate with the QA Manager in providing technical specialists and, if deemed necessary by the QA Manager, concurring with the technical qualifications of assigned personnel.
5. PROCEDURE. The following requirements establish the methods used to assure that properly qualified and certified personnel participate in USGS audits or surveillances.
- 5.1 Qualification of Auditors: Prospective auditors or designated Lead Auditors shall initiate a Qualification Record (Attachment 1) for each Auditor and forward the record to the QA Manager for certification.
 - 5.1.1 The QA Manager shall coordinate with the designated Lead Auditor to assure that any assigned auditors have the experience or training commensurate with the scope, complexity, or special nature of the activities to be audited and to assure that auditors shall have appropriate orientation or training to develop their competence for performing the required audits. The QA Manager may coordinate with the Chief, Branch of YMP, or delegate, to confirm technical credentials of technical specialists designated as auditors.
 - 5.1.2 Competence of personnel for the performance of various auditing functions shall be developed by one or more of the following methods:
 - a. Orientation to provide a working knowledge and understanding of the YMP QA Plan and USGS QA Program Plan; USGS-QMP-18.01 requirements for conducting audits, reporting results, and closing audits; and other directives, standards, regulations, and implementing procedures, plans or instructions applicable to the assigned scope of the audit;
 - b. Training programs to provide general and specialized training in audit performance. General training shall include funda-

mentals, objectives, characteristics, organization, performance, and the results of quality assurance auditing. Specialized training shall include methods of examining, questioning, evaluating, and documenting specific audit items and methods for closing out audit findings; and/or

- c. On-the-job training, guidance, and counseling under the direct supervision of a Lead Auditor. Such training shall include planning, performing, reporting, and follow-up action involved in conducting audits.

5.1.3 Orientation and/or training shall be accomplished prior to the audit, and the USGS QA Manager, or delegate, shall document the completion of the auditor orientation and/or training on the Auditor Qualification Record (Attachment 1).

5.1.4 Auditors who have not participated in an audit in the past two (2) years shall be reoriented and/or retrained prior to an audit.

5.1.5 The Qualification Record (page 2) for each Auditor shall be maintained and updated annually (or in January of each year) by the QA Manager, or delegate.

5.2 Qualification of Lead Auditors: An auditor shall meet several USGS prerequisites prior to being certified as a Lead Auditor by the QA Manager, or delegate. At the discretion of the QA Manager, or delegate, prospective candidates who do not meet all of the prerequisites can be considered a Lead Auditor-In-Training and shall participate in audits under the direction of a certified Lead Auditor until full qualification is achieved. The QA Manager, or delegate, will record this status on the Qualification Record. The QA Manager, or delegate, shall complete the USGS Lead Auditor Qualification Record and the Education and Experience Worksheet (Attachment 2) to record the following qualifications.

5.2.1 **COMMUNICATION SKILLS**: The prospective Lead Auditor shall have demonstrated the capability to communicate effectively, both in writing and orally. Skills shall be attested to, in writing, by the USGS QA Manager or supervisor (employer) of the Lead Auditor.

5.2.2 **TRAINING**: Based upon previous relevant quality assurance auditing experience, the prospective Lead Auditor shall be trained to the extent necessary to assure competence in auditing skills. Training in the following areas shall be provided based upon an evaluation by the USGS QA Manager, or delegate, of the particular needs of each prospective Lead Auditor:

- a. Knowledge and understanding of applicable directives, standards, regulations, and regulatory guides to include 10CFR60 Subpart G, 10CFR50 Appendix B, ANSI/ASME-NQA-1-1986, YMP QA Plan, and USGS QAPP, as a minimum;

- b. Audit techniques of examining, questioning, evaluating, and reporting objective evidence; methods of identifying and verifying corrective action items; and closing audit finding(s) and reports;
- c. Audit planning, as applicable, in the quality-related functions for the following activities: site characterization (scientific investigations), purchasing, handling, shipping, sample and equipment storage, drilling, cleaning, maintenance, repair, software, acquisition of scientific research and technologic data, training, calibration, records management, and safety aspects of the Nevada Test Site; and
- d. On-the-job training including applicable elements of the audit program.

5.2.3 **AUDIT PARTICIPATION:** The prospective Lead Auditor shall have participated in a minimum of five QA audits within a period of time not to exceed three years prior to the date of qualification. One of the audits shall be a nuclear-related QA audit conducted within the year prior to the date of qualification.

5.2.4 **EXAMINATION:** The prospective Lead Auditor shall pass an examination, with a score of 80 percent or greater, in order to evaluate the individual's comprehension of and ability to apply the body of knowledge identified in Para. 5.2.2.

5.2.4.1 The development and administration of the examination shall be performed by the QA Manager, or delegate. The integrity of the examination shall be maintained by the QA Manager, or delegate, through appropriate confidentiality of files and, where applicable, by proctoring of examinations.

5.2.4.2 Copies of objective evidence regarding the type(s) and content of the examination(s) shall be retained in confidence by the QA Manager or delegate. The examination may be oral, written, practical, or any combination of the three as determined by the USGS QA Manager, or delegate. For any oral portion of the examination, documentation of the questions and/or content shall be maintained by the QA Manager, or delegate.

5.3 **Maintenance of Lead Auditor Qualification:** Lead Auditors shall maintain their proficiency through regular and active participation in the audit process; review and study of directives, codes, standards, procedures, instructions, and other documents related to the USGS QA Program and quality assurance program auditing; and participation in training programs.

5.3.1 The USGS QA Manager, or delegate, shall evaluate and update the Qualification Record of each Lead Auditor annually (or in January of each year) to determine acceptability of the credentials for recertification. The Recertification Worksheet (Attachment 3) shall be completed, by the QA Manager, or delegate, to document the basis for

recertification. The auditing activities in which the Lead Auditor has participated during the previous year shall be identified including audit training sessions conducted or attended, applicable audit or QA program documents reviewed and studied, audits performed, including at least one nuclear-related QA audit.

5.3.1.1 If the QA Manager determines that the Lead Auditor has maintained proficiency, the results are recorded on the Requalification Worksheet (Attachment 3) and the QA Manager shall sign and date the "Annual Evaluation" of the USGS Lead Auditor Qualification Record (Attachment 2).

5.3.1.2 If the QA Manager determines that the Lead Auditor has not maintained proficiency, requalification of the Lead Auditor shall require retraining in accordance with the requirements of Para. 5.2.2; participation as an auditor in at least one nuclear-related QA audit; and reexamination in accordance with Para. 5.2.4.

5.4 Qualification of Surveillance Personnel: Designated or prospective surveillance personnel shall prepare a Qualification Record (Attachment 4) and forward the record to the QA Manager for certification.

5.4.1 The QA Manager shall coordinate with the Chief, Branch of YMP, or appropriate supervisors to assure selected personnel have the training or experience required for the surveillance.

5.4.1.1 Previous surveillance-related experience shall be documented and on file with the QA Office.

5.4.1.2 Training shall include, as a minimum, orientation with the criteria of the YMP-USGS QA program; familiarization with the specified scientific investigation documents, such as the SIP, Study Plan, applicable technical procedures, etc.; and guidance concerning the requirements for conducting and reporting surveillances (QMP-18.02).

5.4.1.3 Surveillance qualification and certification remains in effect unless specifically modified by the QA Manager. The Qualification Record (Attachment 4, page 2) will be maintained and updated by the QA Office on at least an annual basis (January of each year).

6. RECORDS MANAGEMENT. The Lead Auditor examination shall be retained by the QA Manager, or delegate, to assure confidentiality is maintained as explained by Para. 5.2.4.1.

6.1 Controlled Documents: None.

6.2 Records Center Documents: The following records, excluding the Lead Auditor examination, shall be submitted by the QA Office to the USGS Records Center in accordance with YMP-USGS-QMP-17.01.

Auditor Qualification Records and annual updates

Lead Auditor Qualification Records with Education and Experience Worksheets

Lead Auditor Requalification Worksheets

Surveillance Qualification Records and annual updates

Applicable supporting records

7. RELATED DOCUMENTS.

7.1 Superseded Documents: This QMP supersedes NNWSI-USGS-QMP-2.05, R1, Qualification of Quality Assurance Program Audit Personnel.

7.3 References Cited:

YMP-USGS-QAPP-01, Quality Assurance Program Plan

YMP-USGS-QMP-2.02, Personnel Qualification and Training Program

YMP-USGS-QMP-17.01, YMP-USGS Records Management

YMP-USGS-QMP-18.01, Audits

YMP-USGS-QMP-18.02, Surveillance

ANSI/ASME NQA-1-1986, Quality Assurance Program Requirements for Nuclear Facilities

10CFR50 Appendix B, Quality Assurance Criteria for Nuclear Power Plants and Reprocessing Plants

10CFR60 Subpart G, Disposal of High Level Radioactive Wastes in Geologic Repositories - Quality Assurance

YMP QA Plan, 88-9 (formerly NNWSI QA Plan, NVO-196-17)

8. ATTACHMENTS.

Attachment 1: USGS Auditor Qualification Record

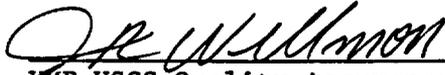
Attachment 2: USGS Lead Auditor Qualification Record with Education and Experience Worksheet

Attachment 3: USGS Lead Auditor Requalification Worksheet

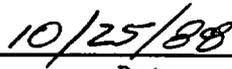
Attachment 4: USGS Surveillance Qualification Record

9. APPROVALS AND EFFECTIVE DATE.

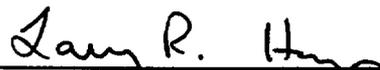
EFFECTIVE DATE: Upon Approval.



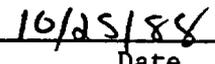
YMP-USGS Quality Assurance Manager



Date



Chief, Branch of YMP



Date

USGS AUDITOR QUALIFICATION RECORD

Name: _____

Date: _____

Experience (Dates)

From	To	Employer and Description of Work

Education: Degree/Certificate: _____ Major: _____ Year: _____

Trade/Tech School, College, or University: _____

Additional Degrees: _____

Professional Certification: _____ State or Society _____

Orientation and Training:

Date: _____

Orientation and Training:	Date:

Management Comments:

____ QA Auditor

____ QA Auditor-in-Training

____ Technical Auditor - Area(s) of Expertise: _____

Certified By: _____

Date: _____

QA Manager

USGS AUDITOR QUALIFICATION RECORD (Continued)

To be updated each January by the QA Manager or delegate

Name: _____

AUDIT PARTICIPATION

Audit No.	Date	Audit Role	Subject Area Monitored

AUDIT RELATED TRAINING

Date	Duration	Instructor	Subject of Training

OTHER

USGS QA LEAD AUDITOR QUALIFICATION RECORD

Name _____		Date _____	
Employer _____			
QUALIFICATION POINT REQUIREMENTS			CREDITS
Education - University/Degree Date _____		4 Credits Max.	
1. Undergraduate Level _____			
2. Graduate Level _____			
Experience - Company/Dates _____		9 Credits Max.	
Technical (0-5 Credits), and _____			
Nuclear Industry (0. 1 Credit), or _____			
Quality Assurance (0, 2, 3 Credits), or _____			
Auditing (0, 3, 4 Credits) _____			
Professional Accomplishment - Certificate/Date _____		2 Credits Max.	
1. P.E. _____			
2. Society _____			
Management - Justification/Evaluator/Date _____		2 Credits Max.	
Explain: _____			

Evaluated By: (Name/Title) _____		Date _____	
Total Credits			
Audit Communication Skills			
Evaluated by: (Name/Title) _____		Date _____	
Audit Training Courses			
Course Title _____			Date
1. _____			
2. _____			
Audit Participation			
Location	Audit	Date	
1. _____	_____	_____	
2. _____	_____	_____	
3. _____	_____	_____	
4. _____	_____	_____	
5. _____	_____	_____	
Examination: _____		Score: _____	Date: _____
Lead Auditor Qualification Certified by: (Signature and Title) _____		Date Certified: _____	
Annual Evaluation	_____	_____	_____
(Signature and Date)	_____	_____	_____

EDUCATION AND EXPERIENCE WORKSHEET FOR LEAD AUDITOR

Name _____						
Category	Qualification Standard					Points
Education (4 points max.)	Degree	Associate		Bachelor		Master
	Subject	General	Eng'g Phys Sci Math QA/QC	General	Eng'g Phys Sci Math QA/QC	Eng'g Phys Sci Math Bus Admin QA/QC
	Value	1	2	2	3	4
Experience (9 points max.) (If 2 or more years in the following areas, add points)	1 point/year for engineering, manufacturing, construction, operation, or maintenance experience (5 points max.).					
	Nuclear	Quality Assurance	Auditing	Nuclear QA	Nuclear QA Auditing	
	1	2	3	3	4	
Professional (2 points max.)	State, Agency, or National Professional Society Certification					
	2					
Management (2 points max.)	Examination		Special QA Course	Judgement Leadership, etc.	Analytical Ability	Other
	Score: _____					
	80-89%	90-100%				
	1	2				
Total (10 points minimum required)						
Notes:						
Prepared By: _____ Date: _____						

USGS LEAD AUDITOR REQUALIFICATION WORKSHEET

Name:

Initial USGS Certification Date:

Requalification period covered: From: _____ to _____

List audits performed in last 12-month period. Provide ID number, general subject area, dates, and indicate capacity of performance (Auditor, Lead Auditor, Technical Specialist, etc.).

List audit training sessions conducted or attended in last 12-month period. Provide date, instructor's name and briefly describe subject.

List QA or audit program documents reviewed or studied during last 12-month period.

Evaluation of qualification proficiency:

_____ Acceptable. Certification is extended for 1 year. (Mark Qualification Record.)

_____ Not Acceptable. (Explain and provide conditions for requalification.)

USGS QA Manager: _____ Date: _____

USGS SURVEILLANCE QUALIFICATION RECORD

Name: _____

Date: _____

Experience (Dates)

From	To	Employer and Description of Work

Education: Degree/Certificate: _____ Major: _____ Year: _____

Trade/Tech School, College, or University: _____

Additional Degrees: _____

Professional Certification: _____ State or Society: _____

Orientation and Training:

Date:

Management Comments:

____ QA Program/Implementation Specialist

____ Technical Specialist - Area(s) of Expertise: _____

Certified By: _____

Date: _____

QA Manager

MANAGEMENT PROCEDURES MANUALCHAPTER 12 - CONTROL OF MEASURING AND TEST EQUIPMENTSECTION 1 - INSTRUMENT CALIBRATION

1. **PURPOSE.** This procedure establishes a system to ensure that instruments and measuring and test equipment (M&TE) that affect the quality of YMP-USGS QA Level I and II activities are controlled, calibrated and documented at specified periods to maintain accuracy within specified limits.
2. **SCOPE OF COMPLIANCE.** This procedure applies to QA Level I and II USGS instruments and M&TE used in support of the Yucca Mountain Project. This includes devices or systems used to calibrate, measure, gage, test, or inspect for the purpose of either controlling or acquiring data to verify conformance to a specified requirement or to establish characteristics or values not previously known. This procedure applies to all YMP-USGS and contractor personnel.
3. **DEFINITIONS.** None.
4. **RESPONSIBILITIES.**
 - 4.1 **The Principal Investigator (PI)** of a quality-affecting activity ensures that YMP-USGS-controlled M&TE and instruments are considered for calibration and that those requiring calibration meet the requirements of this procedure and specific calibration requirements in technical procedures. The PI may delegate authority and responsibility for meeting specific calibration requirements to a contributing investigator or other qualified technician or specialist, however, the PI retains overall responsibility for the calibration process.
 - 4.2 **A Contributing Investigator**, as delegated by the PI, performs calibrations as specified by appropriate technical procedures.
 - 4.3 **The Quality Assurance Manager**, or designee, maintains a calibration register to aid in tracking instrument and M&TE calibrations.
 - 4.4 **YMP-USGS Calibration Contractors** are required to meet the requirements of this procedure as specified in the purchase order or contract.
5. **PROCEDURE.** Specific calibration procedures for each applicable instrument or M&TE; (hereafter "equipment") are established in technical procedures (QMP-5.01), tentative technical procedures (QMP-5.05), industry standards, criteria letters (QMP-3.05), and/or procurement documents (QMP-4.01).
 - 5.1 **Requirements:** The following generic requirements are imposed on the YMP-USGS calibration process:
 - 5.1.1 All YMP-USGS QA Level I and II equipment requiring calibration shall be calibrated and adjusted to maintain accuracy; before use on the YMP-USGS project, as required during ongoing project activities, and upon removal from project use. Certain commercial devices (e.g.,

rulers, levels, or other such items) that are not subject to operational variations, are excluded.

5.1.2 Specific calibration procedures for individual equipment are established, as applicable, as a separate and complete technical procedure or included as a part of a technical procedure of wider scope. If developed as a separate document, the calibration procedure is referenced in and attached to the primary technical procedure for an activity.

5.1.3 Technical procedures, procurement documents, criteria letters, calibration data sheets and/or log books shall contain the following information, as applicable:

- o Name of approved calibration facility/organization.
- o Equipment manufacturer, type, model, and serial number and/or other individual item identification.
- o Equipment range and accuracy per manufacturer's specifications.
- o Dates of calibration.
- o Name and signature; or initials where appropriate (e.g. daily calibration logbook notations), of person(s) performing calibration.
- o NBS traceability information, when possible, or similar information when using other acceptable standards.
- o Procedure used for calibration (including revision number).
- o Records of actual calibration showing indicated values versus the standard's measured values, both before and after any adjustment.
- o Calculations to determine equipment accuracy based upon manufacturer's, YMP-USGS, or other applicable requirements, where available.
- o Acceptance or rejection of the equipment.

5.1.4 The method and interval of calibration for individual equipment items shall be defined, based on the type of equipment, stability characteristics, required accuracy, intended use, manufacturer's recommendations, and other conditions that affect measurement control.

5.1.5 When periodic and/or routine calibrations are performed and the equipment is determined to be out-of-calibration, no repairs/adjustments shall be performed prior to complete documentation of the equipment's condition (including general condition, accuracy, range). The precalibration documentation shall be made available to the PI for evaluation of the accuracy of previous YMP data. After precalibration documenta-

tion is complete, repairs/adjustments may be performed to calibrate the equipment to the required tolerances.

5.1.6 The PI assesses out-of-calibration equipment data for acceptance/rejection per the specific requirements in the technical procedure and in the review procedure (QMP-3.07).

5.1.7 Calibration procedures shall be readily available at the site where the subject calibrations are conducted (QMP-6.01).

5.1.8 Equipment systems developed to meet special needs for a particular investigative activity are developed and manufactured under the control of the USGS per QMPs 7.01, 4.01, and/or 3.05. Prior to use, equipment shall be calibrated according to an approved technical procedure.

5.1.9 Standards used for instrument calibration are to 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 standards used are supported by certificates, reports, or data sheets attesting to the date, accuracy, and conditions under which the results were obtained. Reference standards are to be stored and handled as described in an approved technical procedure to maintain the required accuracy and characteristics of the standard. Calibrating standards shall have equal or greater accuracy than equipment being calibrated. Calibration standards with the same accuracy may be used if it can be shown to be adequate for the requirements and the basis of the acceptance is documented and authorized by the QA Manager.

5.1.10 Nonconformance Reports (NCRs) are prepared in accordance with QMP-15.01 for equipment that is used after the calibration due date, when the equipment is found to be out-of-calibration, when no calibration status sticker is displayed, or when the equipment is being used while out-of-calibration as noted by tagging or other segregation.

5.1.11 Equipment that is out-of-calibration is tagged by attaching a hold tag, or by other segregation (QMP-15.01), and is not used until recalibrated. Equipment shall be repaired or replaced if found to be consistently out of calibration. Equipment that is to be removed from service for an extended period of time, that will exceed its normal calibration period, shall be so marked and segregated from equipment actively being used for YMP activities. The segregated, inactive equipment shall be documented as inactive on the QA Calibration Form and the date when the equipment was designated inactive noted.

5.1.12 A calibration is performed whenever the accuracy of equipment is suspect, regardless of the calibration schedule.

5.1.13 All equipment used on the Project shall be marked indicating the calibration status. Equipment labels are illustrated in Attachment 2. Labels are affixed to the individual piece of equipment, if practical, or to the container, or in the immediate vicinity for stationary equipment. When size or functional equipment characteristics prevent the application of a label, an identifying code is applied to reflect

status. When neither labeling nor coding is practical, the technical procedure provides for monitoring of records by the PI to assure control. Calibration status is listed according to one of the following categories:

- o Periodic Calibrations: (Attachment 2, Figure 1) Indication of unique equipment identification, date last calibrated, date next calibration due, calibration procedure number, and calibrator for those calibrations which are subject to periodic checking;
- o Calibration Each Use: (Attachment 2, Figure 2) Indication of equipment identification, "OPERATOR TO CALIBRATE", and the procedure number for all equipment that is determined by the PI to require calibration each time it is used (Note: "Operator to Calibrate" equipment having "on-board" calibration capabilities shall receive a "base-line" calibration to an NBS standard to ensure that the "on-board" standard is accurate within established limits); or
- o Calibration Not Required: (Attachment 2, Figure 3) Indication of unique equipment identification and "NO CALIBRATION REQUIRED" for all equipment used that is not included in the above categories.

The unique equipment identification consists of model No., serial No., or a description and assigned number (e.g., Iron Horse #5). The QA Office shall assign and record numbers, if applicable.

5.1.14 A QA Calibration Form (Attachment 1) is completed by the PI, or delegate, for each instrument requiring calibration after each calibration. The form is sent to the YMP-USGS QA Office prior to an instrument's use.

5.1.15 An up-to-date calibration tracking system is maintained by the QA Office for all equipment calibrations and status. The QA Office provides PIs with a quarterly listing of equipment in the calibration register and its status. PIs, or delegates, update the listing and return it to the YMP-USGS QA Office within 30 days. All equipment found to be not in compliance is removed from service and documented on a Nonconformance Report (Para. 5.5).

6. RECORDS MANAGEMENT.

- 6.1 Controlled Documents: Controlled technical procedures include specific requirements for all YMP-USGS equipment considered for calibration.
- 6.2 Records Center Documents: Records associated with this procedure shall be submitted to the USGS Records Center in accordance with QMP-17.01, and include the following:

The QA Calibration Form, along with any other relevant documentation as applicable, submitted by the QA Office (after receipt as per Para. 5.1.14).

All calibration data and other relevant calibration documentation in accordance with QMP-5.01.

7. RELATED DOCUMENTS.

7.1 Superseded Documents: This QMP supersedes NNWSI-USGS-QMP-12.01, R1, Instrument Calibration.

7.2 References Cited:

YMP-USGS-QMP-3.05, Work Request for NTS Contractor Services (Criteria Letter)

YMP-USGS-QMP-3.07, Technical Review

YMP-USGS-QMP-4.01, Procurement Document Control

YMP-USGS-QMP-5.01, Preparation of Technical Procedures

YMP-USGS-QMP-5.05, Preparation and Issuance of Tentative Technical Procedures

YMP-USGS-QMP-6.01, Document Control

YMP-USGS-QMP-7.01, Supplier Evaluation, Selection and Control

YMP-USGS-QMP-15.01, Control of Nonconforming Items

YMP-USGS-QMP-17.01, Quality Assurance Records Management

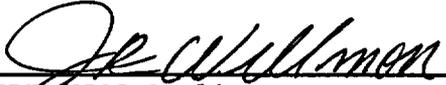
8. ATTACHMENTS.

Attachment 1: YMP-USGS QA Calibration Form

Attachment 2: Facsimiles of calibration status stickers

9. APPROVALS AND EFFECTIVE DATE.

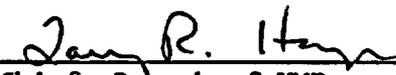
EFFECTIVE DATE: Upon approval.



YMP-USGS Quality Assurance Manager

10/25/88

Date



Chief, Branch of YMP

10/25/88

Date

YMP-USGS QA CALIBRATION FORM

Instrument Description _____

Unique Identification Number (i.e. Model #, Serial #, and/or other ID #)

Calibration Date _____ Calibration Expiration Date _____

Technical Procedure Used for Calibration _____

Instrument Location _____

Organizational Unit (i.e. NHP, GD) _____

Calibrated By _____

Required Range and Accuracy _____

Calibration Standard Used _____

Comments _____

Name of Responsible PI _____

Signature of Person Completing Form

Date

FACSIMILES OF CALIBRATION STATUS STICKERS

USGS	For QA Work
Ident. _____	
Date Calibrated _____	
Recalibrated Due _____	
Procedure No. _____	
Calibrator _____	

Figure 1. Sticker to be affixed to instruments that are subject to periodic calibrations.

USGS	For QA Work
Ident. _____	
OPERATOR TO CALIBRATE	
Procedure No. _____	

Figure 2. Sticker to be affixed to instruments that have been determined to require calibration each time it is used.

USGS — FOR QA WORK	
IDENT. _____	
NO CALIBRATION REQUIRED	
Procedure No. _____	

Figure 3. Sticker to be affixed to all equipment not requiring calibration, i.e., all equipment exclusive of those identified by Figures 1 and 2.

MANAGEMENT PROCEDURES MANUAL

CHAPTER 15 - CONTROL OF NONCONFORMING ITEMS

SECTION 1 - CONTROL OF NONCONFORMING ITEMS

1. **PURPOSE.** To provide the methods and controls necessary for the reporting and documentation of a deficiency in the characteristics, documentation, equipment or procedure that renders the quality of an item, data, or activity unacceptable or indeterminate in support of the Yucca Mountain Project activities. These measures are necessary to prevent the inadvertent use or installation of nonconforming items or data that are questionable or unusable for site characterization.

2. **SCOPE OF COMPLIANCE.** This procedure applies to all nonconforming conditions associated with Level I and II activities performed by USGS and contractor/supplier personnel in support of the YMP. Level III nonconforming conditions may be processed at the discretion of the QA Manager and the Chief, Branch of YMP.

3. **DEFINITIONS.**
 - 3.1 **Nonconformance:** A deficiency in the characteristics, documentation or procedure that renders the quality of an item or activity unacceptable or indeterminate. For USGS purposes, reference to nonconforming "conditions" or "items" within this QMP includes activity, item, service, data, material, equipment, structure, or condition.

 - 3.2 **Conditional Release:** An interim disposition that authorizes a process or activity to continue even though a nonconforming condition has been identified.

 - 3.3 **Disposition:** The action taken to resolve a nonconforming condition or item and to restore acceptable conditions.

 - 3.4 **Repair:** A disposition that authorizes a process of restoring a nonconforming characteristic to a condition such that the capability of an item or condition, to function reliably and safely is unimpaired, even though that item, aspect of work, activity, data, condition, equipment, or service still does not conform to the original requirement.

 - 3.5 **Rework:** A disposition that authorizes a process by which a nonconforming condition or item is made to conform to the original requirements by completion or correction, utilizing existing approved procedures.

 - 3.6 **Use-As-Is:** A disposition that is permitted for a nonconforming condition or item when it can be established that the item, aspect of work, activity, data, condition, equipment, or service is satisfactory for its intended use.

 - 3.7 **Reject/Scrap:** A disposition that is permitted when an item or condition is determined unsuitable for its intended purpose is incapable of being

reworked or repaired, and will be removed or discontinued from use on the YMP.

4. RESPONSIBILITIES.

- 4.1 The USGS QA Manager, or delegate, is responsible for coordinating and processing Nonconformance Reports (NCRs) including tracking and monitoring NCRs, coordinating the use of hold tags and conditional releases, assigning disposition responsibilities, evaluating the proposed dispositions for all Level I and II NCRs, obtaining appropriate approvals from YMPO, maintaining NCR files, verifying corrective action implementation, and performing a periodic analysis to help identify root causes in accordance with QMP-16.03, Trend Analysis.
- 4.2 The Chief, Branch of YMP, or delegate, is responsible for coordinating with the QA Manager to assure NCRs are properly reviewed and resolved.
- 4.3 USGS and Contractor/Supplier Personnel are responsible for initiating NCRs in accordance with this QMP, providing dispositions, and implementing corrective actions that are authorized by approved procedures and have been assigned by the QA Manager.

5. PROCEDURE.

- 5.1 Initiation of a Nonconformance Report: Upon detection of a nonconforming condition, USGS or contractor/supplier personnel shall initiate a Nonconformance Report (NCR) (Attachment 1).
 - 5.1.1 The originator shall complete Part I of the NCR including pertinent information regarding cited requirements and the actual nonconforming condition. The originator shall coordinate with the QA Office to obtain an NCR number and record the number on the NCR and on any associated records or documents.
 - 5.1.2 The originator shall affix an NCR Hold Tag (Attachment 2), segregate the item, or obtain an approved exception as deemed necessary by the QA Manager and explained in Para. 5.3. The original NCR shall be forwarded to the USGS QA Office for further processing.
 - 5.1.3 If a conditional release is needed, the originator shall coordinate with the QA Manager in order to meet the requirements of Para. 5.4.
- 5.2 An NCR Log (Attachment 3) shall be maintained by the QA Office to assign unique NCR numbers, indicate use of Hold Tags, and to assist in tracking NCRs. The identification number shall include "USGS-NCR- last 2 digits of current fiscal year - a sequential number". [Example: USGS-NCR-88-01.]
 - 5.2.1 The QA Office shall monitor and track each NCR to assure timely resolution. The QA Office shall review the status of NCRs, on a monthly basis as a minimum, to assure that open NCRs show continuous activity toward disposition and resolution. The result of the QA Review shall

be reflected in the open items report issued in accordance with QMP-16.03.

5.2.2 When repetitive or recurring nonconforming conditions are identified, the corrective action shall be beyond the scope of the action taken for the disposition on the existing NCRs and shall be reported and processed as a trend or potential trend (QMP-16.03).

5.3 Identification and Segregation of Nonconforming Items: Nonconforming items shall be uniquely identified and/or segregated in accordance with the following provisions, unless exempted by the QA Manager or delegate.

5.3.1 When practical, the QA Office with the assistance of the USGS personnel responsible for the activity, shall segregate the nonconforming item by placing it in a clearly identified and designated hold area until the disposition of the nonconformance is verified.

5.3.2 An NCR Hold Tag (Attachment 2) shall be filled out and affixed to the item to provide legible identification of the nonconforming condition and to avoid inadvertent use of the item. The NCR Hold Tag shall remain with the item until the disposition of the NCR has been completed and verified. If tagging of each item is not practical, then the NCR Hold Tag shall be applied to the container, package, or to the storage or hold area. If only a portion of an item or activity is nonconforming, the NCR Hold Tag shall clearly describe the condition.

5.3.3 Work on the item or activity shall be stopped until the disposition is fully approved unless a conditional release has been authorized (Para. 5.4). When only a specific portion of the item or activity is nonconforming, and has been properly identified, then work may proceed on the remaining areas. Any questions regarding the scope of the nonconforming condition and the effect on other areas may be discussed with the QA Manager and documented in part II of the NCR.

5.3.4 The QA Office shall be responsible for removal of the NCR Hold Tag, or for notifying responsible personnel to remove the Tag after verification actions are completed (ref. Para. 5.7).

5.3.5 If tagging, or segregation is not possible, the QA Manager, or delegate, shall document and note the exemption with an explanation in Part II of the NCR.

5.4 A Conditional Release is an interim NCR disposition that shall be approved by YMPO to allow continuation of an activity or work prior to implementation of the disposition.

5.4.1 The following conditions shall be considered for the proposed conditional release and a justification or explanation shall be documented in the Conditional Release Request (Attachment 4):

- a. The nonconforming item can be removed or corrected at a later date without damage to, or contamination of, the associated data, item, condition, equipment, structures, service, material, or activity;

- b. The nonconforming item remains accessible for examination;
- c. The nonconforming item is evaluated, and limitation(s) for use of the equipment or system is established; and
- d. Traceability and identification of the nonconforming item are maintained.

5.4.2 A completed Conditional Release Request shall be referenced in or included with the NCR and shall be submitted to the QA Manager for approval.

5.4.3 The USGS QA Manager or delegate shall coordinate with the YMPO PQM in order to obtain YMPO concurrence for the Conditional Release Request.

5.5 Disposition of NCRs: The QA Manager or delegate shall coordinate, if necessary, with the Chief, Branch of YMP, and shall assign the responsible personnel to provide a proposed disposition for the NCR within 30 calendar days, or less. This assignment shall be recorded on Part II of the NCR and the NCR shall be forwarded to the assigned personnel for disposition action.

5.5.1 If the assigned personnel determine that the documented NCR condition is not a nonconformance, the NCR shall be voided.

5.5.1.1 The assigned personnel shall provide a justification statement, sign and date Part III of the NCR, and forward the NCR to the QA Manager for concurrence.

5.5.1.2 Copies of the voided NCR shall be distributed by the QA Office to the initiator, the Chief, Branch of YMP, the YMPO PQM and the SAIC/T&MSS Project QA Department (QA Engineering Division Manager), as a minimum.

5.5.2 When the NCR is initiated on an activity that requires immediate attention, a verbal method of obtaining the disposition may be utilized. The QA Office shall coordinate and document the verbal method as shown below, and assure that the disposition includes the information outlined in Para. 5.5.

5.5.2.1 The QA Office shall contact the responsible personnel and obtain verbal disposition input. The YMPO PQM also shall be contacted for overall approval.

5.5.2.2 All verbal input from the contacts shall be documented on Part III of the NCR including the name, date, and time of the contact. A copy of the dispositioned NCR shall be sent to the personnel responsible for implementing the disposition with indication to proceed with the approved disposition.

5.5.2.3 The QA Office shall obtain signatures of the personnel who provided verbal input on the original NCR within approximately 24 hours, or as soon as possible.

5.5.2.4 The QA Office shall send the original NCR to the person responsible for implementing the disposition and shall send a copy to the Chief, Branch of YMP, appropriate Branch/Unit Chiefs, the YMPO PQM and the SAIC/T&MSS QA Department (QA Engineering Division Manager), as a minimum.

5.5.3 When the methods specified in Para. 5.5.1 and 5.5.2 are not necessary, the assigned personnel shall assure that the documented condition is adequately identified and described and shall propose a disposition to resolve the nonconformance. The following information shall be included in the disposition:

- a. The proposed disposition actions have been categorized, such as repair, rework, use-as-is, reject/scrap;
- b. The personnel have been identified to implement the disposition and a schedule for completion of actions is included;
- c. The cause and, if appropriate, action(s) to preclude recurrence, have been described;
- d. Appropriate technical justification is documented for Use-as-is and Repair dispositions;
- e. Scientific investigation or documents, procedures, plans, work orders, etc., that are to be used to resolve the nonconforming condition have been referenced in the disposition;
- f. The technical details for completion of the required actions are accurately and adequately described in the recommended disposition;
- g. The proposed action complies with scientific investigation plans or documents, rules, procedures, reports, standards and regulatory requirements;
- h. If a change to reflect an as-built condition is appropriate, then the action(s) to change the existing scientific investigation plans or documents, rules, procedures, reports, standards, etc. has been addressed and cross-referenced;
- i. If a conditional release has been requested, the justification has been documented and properly approved; and
- j. Internal interfaces between organizational units and external interfaces between Project participants necessary for executing actions are described.

5.5.4 The NCR shall be forwarded to the cognizant personnel or Office (NHP, Geologic Division, Menlo Park, etc.) for review and approval of the proposed disposition.

5.5.5 The NCR is next forwarded to the QA Office for review and approval which shall ensure that appropriate QA requirements have been included. The QA Manager or delegate shall ensure that the information identified in Para. 5.5.3 has been included or considered in the disposition.

5.5.6 Upon approval by the QA Manager or delegate, the QA Office shall forward NCRs with rework or reject/scrap dispositions to the personnel responsible for implementation of the corrective actions. Copies shall be distributed to the Chief, Branch of YMP, the YMPO PQM and SAIC/T&MSS QA Department (QA Engineering Division Manager), as a minimum.

5.5.7 Upon approval by the QA Manager or delegate, and prior to implementation of the disposition, the QA Office shall forward the NCR to YMPO for review and approval when the disposition involves repair or use-as-is actions.

5.5.8 Upon receipt of YMPO approved NCRs, the QA Office shall distribute the document to all affected organizations including the cognizant office responsible for implementation of the disposition, the Chief, Branch of YMP, YMPO PQM and SAIC/T&MSS QA Department (QA Engineering Division Manager), as a minimum.

5.6 Implementation of Disposition Actions: Assigned personnel shall implement the corrective actions by the completion date as identified in the NCR disposition.

5.6.1 When additional time is needed to complete actions, the assigned personnel shall provide written notification to the QA Manager of the reforecast completion date with an explanation of the delay. This extension request shall be submitted on or before the scheduled due date.

5.6.2 When changes to the disposition are needed, the assigned personnel shall provide written notification to the QA Manager.

5.6.2.1 Editorial or administrative corrections or changes shall be recorded on the original NCR and initialed and dated by the person making the changes and by the QA Manager or delegate.

5.6.2.2 Technical or quality changes shall be reviewed and approved by the same organizations or departments that approved the original disposition. The specific change shall be initialed and dated or the disposition approvals may be initialed and dated by each of the responsible organizations.

5.6.3 Upon completion of the disposition actions, the responsible personnel shall sign and date Part III of the NCR then notify the QA Office of action completion.

5.7 Verification of NCRs: The QA Manager or delegate shall verify the completed disposition actions during an audit (QMP-18.01), a surveillance (QMP-18.02), or a special investigative review.

5.7.1 If items have been repaired or reworked, the verification shall include a reexamination in accordance with specified procedures and with the original acceptance criteria, unless the NCR disposition established alternate acceptance criteria.

5.7.2 If the verification is unacceptable, the NCR shall be closed and a new NCR shall be generated in accordance with this QMP to identify the existing condition. Part IV of the closed NCR shall be updated to reflect the new NCR number, the applicable audit or surveillance, and the NCR shall be signed and dated by the QA Manager or delegate. The closed NCR shall be distributed to the YMPO PQM, SAIC/T&MSS QA Department (QA Engineering Division Manager), the NCR initiator, the appropriate Branch/Unit Chief or supplier/contractor, and the Chief, Branch of YMP, as a minimum. The QA Office shall update the NCR Log and shall notify responsible personnel to update the NCR Hold Tag accordingly.

5.7.3 If verification of the disposition and related records is acceptable, the QA Manager or delegate shall sign and date Part IV of the NCR and reference the applicable audit or surveillance. Copies of closed NCRs shall be distributed to the YMPO PQM, SAIC/T&MSS QA Department (QA Engineering Division Manager), the initiator, and the Chief, Branch of YMP, as a minimum. The QA Office shall update the NCR Log and shall notify responsible personnel to remove the NCR Hold Tag.

6. RECORDS MANAGEMENT.

6.1 Controlled Documents: None.

6.2 Records Center Documents: The following records shall be transmitted by the QA Office to the USGS Records Center in accordance with QMP-17.01.

Voided NCRs with supporting documents including Conditional Release Requests

Closed NCRs with supporting documents including Conditional Release Requests

Completed NCR Logs

7. RELATED DOCUMENTS.

7.1 Superseded Documents: This QMP supersedes NNWSI-USGS-QMP-15.01, R1, Procedure for Control of Nonconforming Items.

7.2 References Cited:

YMP-USGS-QAPP-01, QA Program Plan

YMP-USGS-QMP-16.03, Trend Analysis

YMP-USGS-QMP-17.01, YMP-USGS Records Management

YMP-USGS-QMP-18.01, Audits

YMP-USGS-QMP-18.02, Surveillances

8. ATTACHMENTS.

Attachment 1: USGS Nonconformance Report (NCR)

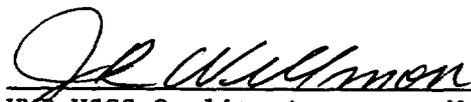
Attachment 2: USGS NCR Hold Tag (facsimile)

Attachment 3: USGS Nonconformance Report (NCR) Log

Attachment 4: USGS Conditional Release Request form

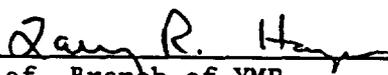
9. APPROVALS AND EFFECTIVE DATE.

EFFECTIVE DATE: Upon approval.



YMP-USGS Quality Assurance Manager

10/25/88
Date



Chief, Branch of YMP

10/25/88
Date

USGS NONCONFORMANCE REPORT

NO: USGS-NCR- _____

Page ____ of ____

PART I - INITIATION

Originator/Organization _____

Assigned Quality Assurance Level _____

NCR Date _____

Nonconforming Item or Activity and Responsible Organization _____

Specification/Drawing/Procedure Requirements _____

Deficiency _____

PART II - PERSON/ORGANIZATION ASSIGNED DISPOSITION RESPONSIBILITY

NCR Hold Tag, other ID, or segregation not required :

Conditional Release Request attached to NCR:

PART III - DISPOSITION

Repair

Rework

Use-as-is

Reject/Scrap

Describe Technical Justification and Assignment of Responsibility _____

Approvals of Disposition

Dispositioner/Date _____ Dispositioner/Date _____

Project QA/Date _____ WMPO/NTSO/Date _____

Disposition Action Complete _____

PART IV - VERIFICATION (Approved Disposition Verified and Examined)

Accept Reject New NCR No. _____ Project QA/Date _____

Audit or Surveillance No. _____

Comments: _____

Instructions for Completing the USGS NCR

Identification:

Initiator shall enter the NCR No. obtained from the QA Office.

Initiator shall include page numbers on the NCR and any attachments to the NCR.

Part I:

Initiator shall enter the assigned QA Level; the date; a brief description of the item, activity, task and responsible organization; cite the document and requirement violated (Title, No., Rev., applicable para.); and note the actual nonconforming condition, including applicable location, identification, etc.

Part II:

QA Office shall enter the name(s) of the personnel/organizations assigned to provide a disposition, and if applicable, enter an explanation for not affixing a Hold Tag or segregating the nonconforming item, and indicate whether a Conditional Release is attached to the NCR.

Part III:

Assigned disposition personnel shall indicate the appropriate disposition category/combination; describe the proposed resolution, including applicable technical justification statements, procedures to be used, personnel/organizations to implement actions, and the forecast date(s) for completing the actions.

Disposition Approval Personnel:

Assigned dispositioner(s) shall sign and date;

Appropriate management of the assigned dispositioner(s) shall sign and date;

QA Manager or delegate shall sign and date all QA Level I or II NCRs;

WMPO personnel shall sign and date all NCR "Repair" or "Use-as-is" dispositions.

Disposition Action Complete:

Responsible Assigned Personnel shall sign and date to signify completion of all actions.

Part IV:

Assigned QA personnel shall recommend acceptance or rejection of completed actions; note the audit or surveillance conducted; identify any new NCRs; and sign and date in the comments section.

QA Manager or delegate shall sign and date signifying close-out of the NCR.

HOLD

NCR NUMBER

**THIS NONCONFORMING ITEM IS NOT TO BE
PROCESSED EXCEPT AS AUTHORIZED BY:**

CONDITIONAL RELEASE

IDENTIFY SPECIFIC CONDITION OR ITEM

HOLD TAG INITIATOR **DATE**

