

Department of Energy

Washington, DC 20585 MAY 1 3 1997 QA: L

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U.S. Geological Survey
1261 Town Center Drive
Building 12, Room 1249, M/S 423
Las Vegas, NV 89134

ISSUANCE OF DEFICIENCY REPORTS (DR) YM-97-D-039 THROUGH YM-97-D-041 RESULTING FROM OFFICE OF QUALITY ASSURANCE (OQA) AUDIT USGS-ARC-97-15

Enclosed are DRs YM-97-D-039 through YM-97-D-041 generated as a result of the OQA Audit USGS-ARC-97-15.

Please provide responses to these deficiencies that meet the applicable requirements of Administrative Procedure 16.1Q, Performance/Deficiency Reporting. Send the originals of your responses to Deborah Sult, OQA/QATSS, P.O. Box 30307, Mail Stop 455, North Las Vegas, Nevada 89036-0307. Responses to the DRs are due 20 working days from the date of this letter. Extensions to due dates must be requested in writing, with appropriate justification, prior to the due dates.

If you have any questions, please contact either James Blaylock at (702) 794-1420 or Cynthia A. Humphries-Alder at (702) 794-1336.

Donald G. Horton, Director Office of Quality Assurance

OQA:JB-1526

Enclosure:

DRs YM-97-D-039 through YM-97-D-041

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8 □Performance Report

■ Deficiency Report

NO. <u>YM-97-D-039</u>

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	NCE/DEFICIENC		U.	
1 Controlling Document:	·		2 Related Report No	
USGS-YMP-QMP-03 16, Revision 0			USGS-ARC-97-15	
2.5		<u>-</u>	<u> </u>	
	esponsible Organization: 4 Discussed With:			
U S GEOLOGICAL SURVEY (USGS)	Martha Mustard	, Bruce	Parks Parks	
5 Requirement/Measurement Criteria				
- Academantementalisment Citizata				
YMP-USGS-QMP-3 16, Revision 0, controls scientific elic	citation. The process wa	as initiati	ed on or before October 19	96, yet the
procedural requirement has not been implemented in a b				,
	_			
6 Description of Condition				
·	ber 1996, the Project Pla	an, whic	h addresses the process in	detail from stating
Although implementation was initiated on or before Octothe objective of the expert elicitation through the review a	and approval of the produ	ıct, was	not approved until April 30	
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PERFORMANCE/DEFI	CIENCY REPORT RESPONSE		
14 Remedial Actions 15 Extent of Condition (Not required for PR)	CIENCY REPORT RESPONSE		,
16 Root Cause Determination (Not required for PR)	Required DiYes DiNo		
17 Action to Preclude Recurrence (Not required for PR)	Required DYes DNo		
18 Corrective Action Completion Due Date	19 Response by ☐ Initial ☐ Amended Date	Phone	
20 Response Accepted	21 Response Accepted (N/A for PR)		
QAR Date xhibit AP-16 (Q 2	MADOA	Date	Rev 07/15/96

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	■ Deficiency Report

NO. YM-97-D-040

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	E/DEFICIENCY R	EPORT	
1 Controlling Document	2 Related Report No		
P 17 1Q, "Record Source Responsibilities for Inclusionary Records," Revision 0		USGS-ARC-97-15	
3 Responsible Organization	A Discussed With:		
U S GEOLOGICAL SURVEY (USGS)	R Craig, T Chaney	and M Mustard	
5 Requirement/Measurement Criteria			
AP 17 1Q, Section 2.0, Applicability, states: "This p Records in progress before the effective date of this records' initiation, however, records begun on or aft	procedure may continue	under the procedure in effect at the time of the	
6 Description of Condition AP 17 1Q, Revision 0, was issued with an effective	date of 11/22/96. Also o	44 POIDS a letter / Brandt 2 Adams to	
Distribution) was transmitted to Affected Organization of existing record source procedures with AP 17 1Q, nor has it canceled its QMP-17 01 procedures were recently transported to the recent transmittals, which are part of a backlog is meet AP-17 1Q requirements.	ons (including USGS) directions (including USGS) directions are the last of th	Records Processing Center (RPC). These ion 9 Based on discussion with RPC personnel.	
Distribution) was transmitted to Affected Organization of existing record source procedures with AP 17 1Q, nor has it canceled its QMP-17 01 procedures were recently transported to the records were prepared and submitted in accordance the recent transmittals, which are part of a backlog is meet AP-17 1Q requirements.	ons (including USGS) direction 90 days (February 2 educe is mitted by USGS to the ewith QMP-17 01, Revisipending processing, will include the control of the ewith QMP-19 (1).	Records Processing Center (RPC). These son 9 Based on discussion with RPC personnel, be unacceptable to the RPC, since they do not	
Distribution) was transmitted to Affected Organization cancellation of existing record source procedures with AP 17 1Q, nor has it canceled its QMP-17 01 procedures were records/record packages were recently transmitted and submitted in accordance the recent transmittals, which are part of a backlog present AP-17 1Q requirements.	ons (including USGS) direction 90 days (February 2) edure usmitted by USGS to the ewith QMP-17 01, Revisipending processing, will be a produced an isolation and isolation an isolation and isolation an isolation and isola	Records Processing Center (RPC). These son 9 Based on discussion with RPC personnel, be unacceptable to the RPC, since they do not	
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PERFORMANCE/DEFICIENCY REPORT RESPONSE				
14 Remedial Actions				
15 Extent of Condition. (Not required for PR)				
15 Exist of Condition (Not required for Pro)				
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16 Root Cause Determination (Not required for PR)	Required D Yes D No			
17 Action to Preclude Recurrence (Not required for PR)	Required © Yes © No			
18 Corrective Action Completion Due Date	19 Response by			
. Compare , seem semplered pas pare	D initial			
	D Amended Date Phone			
20 Response Accepted	21 Response Accepted (N/A for PR)			
QAR Date				
UAIT UAIT	AOQAM Date			

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NO. YM-97-D-041

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PERFORMA	NCE/DEFICIENCY RE	PORT		
1 Controlling Document		2 Related Report No		
YAP-15 1Q, Revision 2, ICNI		USGS-ARC-97-15		
3 Responsible Organization U.S. GEOGLICAL SURVEY (USGS)	4 Discussed With Wayne Rodm	an - Tom Chaney		
5 Requirement/Measurement Criteria		<u> </u>		
5 1 1 When a nonconforming item or sample	is identified, personnel inflates	a NCR		
6 Description of Condition NCRs are not being initiated at the time a nonce Nonconformance occurred 8/5/96, NCR drafted NCR USGS-97-0004 nonconformance identifie	d 12/19/96 closed 4/2/97	CR USGS-97-0001		
7 inribator	9 is condition an isolate	d occurrence?		
Hank Greene Date 5 /7	7/97 D Yes & No	□ Unknown, Must be Yes if PR		
1 Review extent of condition and determine an 2 Provide management urection and training the importance of documenting nonconformations.	on the proper use of the NCR s			
11 QA Review QAR Date 5	12 Response Due Date 7 / 12 O working days from its			
	sture . James Blogles	1' + Date = /13/67		
22 Corrective Action Verified QAR	Date	23 Closure Approved by (N/A for PR) AOQAM Date		
zhibit AP-16 1Q 1	Date	Rev 07/15/9		

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PERFORM	AANCE/DEFICIENC	Y REPORT RE	SPONSE		
14 Remedial Actions:					
15 Extent of Condition: (Not required for PR)					- Tokan - Honeya -
16 Root Cause Determination. (Not required fo	or PR)	Required	□ Yes □ No		
17 Action to Predude Recurrence (Not require	ed for PR)	Required	d □Yes □No		
18 Corrective Action Completion Due Date	O India				
20 Page Age and a	D Ame		Date	Phone	
20 Response Accepted QAR Da	i i	ponse Accepted (N/A for PR)	.	
thibit AP-16 1Q.2	ite AOQA	/M		Date	Rev 07/15/96

cc w/encl:

Thoma NRC, Washington, DC

S. W. Zimmerman, NWPO, Carson City, NV

T. H. Chaney, USGS, Denver, CO

D. J. Sinks, OQA/USGS, Denver, CO

A. M. Whiteside, OQA/USGS, Denver, CO

cc w/o encl:

W. L. Belke, NRC, Las Vegas, NV

C. A. Humphries-Alder, OQA/QATSS, Las Vegas, NV

D. G. Sult, OQA/QATSS, Las Vegas, NV

R. W. Clark, DOE/OQA, Las Vegas, NV