



Department of Energy

Washington, DC 20585

QA: QA

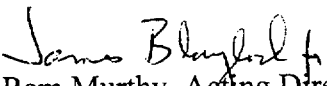
JAN 08 2002

D. E. Calloway, Manager
Information and Records Management
Bechtel SAIC Company, LLC
1180 Town Center Drive, M/S 423
Las Vegas, NV 89144

VERIFICATION OF CORRECTIVE ACTIONS AND CLOSURE OF DEFICIENCY REPORT (DR) BSC-01-D-061

The Office of Quality Assurance staff has evaluated the corrective actions of DR BSC-01-D-061 and determined the results to be satisfactory. As a result, the DR is considered closed.

If you have any questions, please contact either James Blaylock at (702) 794-1420 or James V. Voigt at (702) 794-1487.


Ram Murthy, Acting Director
Office of Quality Assurance

OQA:JB-0479

Enclosure:
DR BSC-01-D-061

Nmss07
WM-11



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JAN 08 2002

cc w/encl:

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Robert Latta, NRC, Las Vegas, NV
S. W. Lynch, State of Nevada, Carson City, NV
Engelbrecht von Tiesenhausen, Clark County, Las Vegas, NV
P. L. Gibson, BSC, Las Vegas, NV
C. A. Humpries-Alder, BSC, Las Vegas, NV, M/S 280
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R. N. Wells, DOE/YMSCO (RW-60), Las Vegas, NV

ORIGINAL

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WASHINGTON, D.C.**

8. ☒ DEFICIENCY REPORT
☐ CORRECTIVE ACTION REPORT
 NO. BSC-01-D-061
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 QA: *DGS* *QA*

DEFICIENCY/CORRECTIVE ACTION REPORT

4/6/01

1. Controlling Document: AP-6.1Q, Rev. 4		2. Related Report No.: N/A	
3. Responsible Organization: Document Control		4. Discussed With: Cynthia Humphries-Alder, Michelle Prater	
5. Requirement: Section 5.10.1 - "Annually transmit to each Document Owner a report of the documents generated by the Document Owner using a Document Transmittal form."			
6. Description of Condition: Contrary to AP-6.1Q, this report has not been generated and distributed in the 14 months since the requirement was incorporated into AP-6.1Q Rev. 4.			
7. Initiator: <i>Patricia Gibson</i> Patricia Gibson Date 04/03/01		9. Does a stop work condition exist? (Not required for a DR) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, Check One: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	
10. Recommended Actions: NONE			
11. QA Review: <i>Patricia Gibson</i> Date 4/6/01		12. Response Due Date: 10 working days from issuance	
13. DOQA Issuance Approval: Printed Name Robert W. Clark Signature <i>James Blaylock</i> Date 4/10/01			
22. Corrective Actions Verified: <i>James V. Voege</i> Date 1/3/2002 QAR James V. Voege Date 11/30/2001		23. Closure Approved by: <i>James Blaylock</i> Date 1/8/02 DOQA James Blaylock	

Exhibit AP-16.1Q.1

9001-3-02

Rev. 12/20/1999

Enclosure

1 of 15

TYPE RESPONSE:

- ☒ Initial
☐ Complete
☐ Amended

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QA: *Y QA**MP 4-24-01***DEFICIENCY/CORRECTIVE ACTION REPORT (RESPONSE)****14a. Immediate Actions:**

Supervisor and Leads directed DC staff to use the name from the approved document and not from the DCAR for Document Owner. The staff checked Controlled Document Information System (CDIS) for document owners' names that were not actually the originator of the document, and made the appropriate changes for issuing the Document Owner's Report for all effective "Plans" in response to CIRS #1268.

Compliance Date: March 31, 2001

14. Remedial Actions:

A Master Report of all effective controlled documents will be made and DC will make necessary changes in CDIS. A report of all "Plans" was created first in response to CIRS #1268, and research was completed to identify the correct responsible owner/manager. This task involved identifying the organizations/managers of some originators due to their termination from the project. The report for Plans will be issued by May 1, 2001.

15. Extent of Condition:

DC staff was using the name of the Document Owner from the DCAR. Because Section 5.2 of AP-6.1Q Rev. 5 allows for EDC to perform the document submittal functions, EDC personnel completed DCARs for originators. In some instances, CM and other departments' personnel completed the DCARs for originators. Therefore, the signature name on DCARs did not always signify the responsible owner/manager of the document. It is estimated that at least 75% of all documents produced on the project were processed through EDC or CM. Because DC has been entering the DCAR name into CDIS database as the document owner, it is estimated that at least 75% of the document owners entered are incorrect.

16. Cause: (Attach results of root cause determination prepared in accordance with AP-16.4Q for a significant deficiency.)

Due to incorrect information being entered into CDIS field for Document Owner, the reports would reflect the incorrect Document Owner; because the creator of the DCAR is listed as the Document Owner and this task is sometimes performed by support personnel (i.e. EDC, CM). For this reason, the issuance of the Document Owner's Annual Report was not generated as required.

17. Action to Preclude Recurrence:

DC staff receiving documents for control and distribution will ensure the correct identity is determined before accepting a document. If the DCAR is signed by support personnel, DC staff will ask submitter to print the document owner's name in the signature block, and signify that the signature is "for" the owner.

After this deficiency is corrected, the Document Owner's Annual Report (excluding Plans) will be issued by August 15, 2001.

18. Due Date: *8/15/01*

- ☒ For submittal of complete response
☐ For completion of corrective action

19. Response by: Derek Garrett

Derek P. Garrett Date *4/24/01* Phone *5-1256*

20. Evaluation: ☒ Accept ☐ Partially Accept ☐ Reject

QAR *James V. Voigt* Date *27 April 2001*

21. Concurrence:

DOQA *James Blaylock* Date *4/27/01*

TYPE RESPONSE:

- ☐ Initial
☒ Complete
☐ Amended

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QA: *LQA**04 5/3/01***DEFICIENCY/CORRECTIVE ACTION REPORT (RESPONSE)****14a. Immediate Actions:**

Supervisor and Leads directed DC staff to use the name from the approved document and not from the DCAR for Document Owner. The staff checked Controlled Document Information System (CDIS) for document owners' names that were not actually the originator of the document, and made the appropriate changes for issuing the Document Owner's Report for all effective "Plans" in response to CIRS #1268.

Compliance Date: March 31, 2001

14. Remedial Actions:

A Master Report of all effective controlled documents will be made and DC will make necessary changes in CDIS. A report of all "Plans" was created first in response to CIRS #1268, and research was completed to identify the correct responsible owner/manager. This task involved identifying the organizations/managers of some originators due to their termination from the project. The report for Plans will be issued by May 1, 2001.

15. Extent of Condition:

DC staff was using the name of the Document Owner from the DCAR. Because Section 5.2 of AP-6.1Q Rev. 5 allows for EDC to perform the document submittal functions, EDC personnel completed DCARs for originators. In some instances, CM and other departments' personnel completed the DCARs for originators. Therefore, the signature name on DCARs did not always signify the responsible owner/manager of the document. It is estimated that at least 75% of all documents produced on the project were processed through EDC or CM. Because DC has been entering the DCAR name into CDIS database as the document owner, it is estimated that at least 75% of the document owners entered are incorrect.

16. Cause: (Attach results of root cause determination prepared in accordance with AP-16.4Q for a significant deficiency.)

Due to incorrect information being entered into CDIS field for Document Owner, the reports would reflect the incorrect Document Owner; because the creator of the DCAR is listed as the Document Owner and this task is sometimes performed by support personnel (i.e. EDC, CM). For this reason, the issuance of the Document Owner's Annual Report was not generated as required.

17. Action to Preclude Recurrence:

DC staff receiving documents for control and distribution will ensure the correct identity is determined before accepting a document. If the DCAR is signed by support personnel, DC staff will ask submitter to print the document owner's name in the signature block, and signify that the signature is "for" the owner.

After this deficiency is corrected, the Document Owner's Annual Report (excluding Plans) will be issued by July 27, 2001.

18. Due Date: July 27, 2001

- ☐ For submittal of complete response
☒ For completion of corrective action

19. Response by: Derek Garrett*Derek P. Garrett*Date *5/3/01*Phone *5-1256***20. Evaluation: ☒ Accept ☐ Partially Accept ☐ Reject**QA *James V. Voigt*Date *5/3/01***21. Concurrence:**DOQA *James Blaylock Jr* Date *5/4/01*

TYPE RESPONSE:

- ☐ Initial
☐ Complete
☒ Amended

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DEFICIENCY/CORRECTIVE ACTION REPORT (RESPONSE)

14a. Immediate Actions:

No change

Compliance Date:

14. Remedial Actions:

The action to issue a Document Owner's Report has been delayed due to various unforeseen obstacles in acquiring the correct information and in updating the information within CDIS.

15. Extent of Condition:

No change

16. Cause: (Attach results of root cause determination prepared in accordance with AP-16.4Q for a significant deficiency.)
(see continuation page)

17. Action to Preclude Recurrence:

No change.
James V. Voigt
7-19-01

18. Due Date: 8/30/01

- ☐ For submittal of complete response
☒ For completion of corrective action

19. Response by:

Michelle Prater

Michelle Prater

Date 7-16-01

Phone 5-7162

20. Evaluation: ☒ Accept ☐ Partially Accept ☐ Reject

James V. Voigt
QAR James V. VOIGT

Date 19 July 2001

21. Concurrence:

James B. Layton Date 7/20/01
D00A

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8. ☒ DR/CAR
☐ Stop Work Order
NO BSC-01-D-061
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DEFICIENCY/CORRECTIVE ACTION REPORT/STOP WORK ORDER CONTINUATION PAGE

APPROVAL SIGNATURES FOR REQUEST FOR EXTENDED PROCESSING FOR DR
BSC-01-D-061 (EXTENDED PROCESSING REQUESTED UNTIL 5/30/01)

DOE Project Manager

Date

Acting Director, Office of Quality Assurance

Date

Deficiency closed prior to obtaining
signatures and, therefore,
are no longer applicable.

Deborah J. Opulawski

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8. ☒ DR/CAR
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DEFICIENCY/CORRECTIVE ACTION REPORT/STOP WORK ORDER CONTINUATION PAGE

REQUEST FOR EXTENDED PROCESSING:

7/18/01

Issuance of an Annual Document Owner's Report was identified by AP-6.1Q as the corrective action necessary to close Deficiency Report BSC-01-D-061. The issuance of the Annual Document Owner's Report will not be completed within the Normal Processing time because of problems encountered during the preparation for the report: 1) many document owners left the project during BSC transition, creating difficulty in reassigning documents to the responsible organizations; 2) some organizations have changed structure and names with the transition; 3) change of document owners' names for about half of the document in CDIS (approximate population 7000 documents) is necessary because document owners were identified incorrectly upon submission to Document Control. A new Corrective action completion date of August 30, 2001 is requested.

The extension of corrective action completion will present no adverse impacts.

Michelle L. Pate
Responsible Individual

7.17.01
Date

D. E. Calloway
Senior Manager

7/17/01
Date

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QA: *KDA*

DEFICIENCY IDENTIFICATION AND REFERRAL

D60 8/23/01

Date:
8/20/01

DR/CAR Referred to: *D60*
8/23/01
BSC-01-~~DR~~-061

Description of Deficiency:

No evidence of LLNL transmitting a report of currently effective controlled documents generated by each Document Owner within the past year, as required by AP-6.1Q, Revision 6, ICN 0, "Controlled Distribution," Section 5.7.2.

How Identified:

Identified during the limited-scope compliance audit BSC-ARC-01-08, performed 8/6-17/01.

Existing Open DR/CAR:

D60
BSC-01-~~DR~~-061 *8/23/01*

Open DR/CAR QAR's Concurrence:

J. V. Voigt

J. V. Voigt

Date:

8/21/01

Initiator:

L. W. Wagner

L. W. Wagner

Date:

8/21/01

TYPE RESPONSE:

- ☐ Initial
- ☒ Complete
- ☒ Amended

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DR/CAR NO. BSC-01-D-061

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OF 1111 08-27-01

QA: *LQA***DEFICIENCY/CORRECTIVE ACTION REPORT (RESPONSE)**

14a. Immediate Actions:

No change.

Compliance Date: March 31, 2000

14. Remedial Actions:

No change.

15. Extent of Condition:

Contact the lab Document Control leads to coordinate the issuance of their own Document Owner's Reports.

16. Cause: (Attach results of root cause determination prepared in accordance with AP-16.4Q for a significant deficiency.)

No change.

17. Action to Preclude Recurrence:

No change.

18. Due Date: November 28, 2001

- ☐ For submittal of complete response
- ☒ For completion of corrective action

19. Response by:

Connie F. Hove
for Michelle Hove

Date *8/27/01*Phone *295-2915*20. Evaluation: ☒ Accept ☐ Partially Accept ☐ Reject

James V. Voigt
 QAR *James V. Voigt*

Date *9-7-2001*

21. Concurrence:

DOQA *James Blaylock*

Date *9/7/01*

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8. ☒ DR/CAR
☐ Stop Work Order

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DEFICIENCY/CORRECTIVE ACTION REPORT/STOP WORK ORDER CONTINUATION PAGE

REQUEST FOR EXTENDED PROCESSING:

Issuance of an Annual Document Owner's Report is required by AP-6.1Q and is the corrective action necessary to close Deficiency Report BSC-01-D-061. The issuance of the Annual Document Owner's Report will not be completed within the Normal Processing time because of additional issues identified during the BSC-ARC-01-008 audit. During the audit it was identified that the Annual Document Owner's Report was not being issued at the labs. A new corrective action completion date of November 28, 2001 is requested.

The extension of corrective action completion will present no adverse impacts.

Bonnie House for Project 8/27/01
Responsible Individual *Plater* Date

DS Callaway 8/28/01
Senior Manager Date

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8. ☒ DR/CAR
☐ Stop Work Order

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APPROVAL SIGNATURES FOR REQUEST FOR EXTENDED PROCESSING FOR DR
BSC-01-D-061 (EXTENDED PROCESSING REQUESTED UNTIL 11/28/01)

DOE Project Manager

Date

Director, Office of Quality Assurance

Date

Deficiency closed prior to obtaining
signatures and, therefore,
are no longer applicable.

Deborah J. Cipulowski
11/30/01

TYPE RESPONSE:

- ☐ Initial
- ☐ Complete
- ☒ Amended

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QA: *LQA**10/2/01***DEFICIENCY/CORRECTIVE ACTION REPORT (RESPONSE)****14a. Immediate Actions:**

In addition to previous:

Identify Vienna Controlled Documents contained in CDIS to define the obsolete, cancelled or superseded versions and assign DC Tracking #s to active versions.

Compliance Date: October 10, 2001

14. Remedial Actions:

No change

15. Extent of Condition:

In addition to previous:

Approximately 500 Vienna Controlled Document entries in CDIS must be researched to determine the active revision for each and DC Tracking #s need to be assigned.

16. Cause: (Attach results of root cause determination prepared in accordance with AP-16.4Q for a significant deficiency.)

In addition to previous:

Vienna Document Control did not utilize the DC Tracking # System and did not make entry to CDIS that defined obsolete, cancelled or superseded versions of controlled documents.

17. Action to Preclude Recurrence:

Vienna Document Control was closed with the transition of BSC.

18. Due Date: October 10, 2001

- ☐ For submittal of complete response
- ☒ For completion of corrective action

19. Response by:

Patricia L. Gibson

Patricia L. Gibson

Date *10/2/2001*Phone *5-0169***20. Evaluation:**

- ☒ Accept ☐ Partially Accept ☐ Reject

QAR *James V. Voigt*Date *10-11-01***21. Concurrence:**DOQA *James Blumholtz*Date *10/18/01*

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8. ☒ DR/CAR
☐ Stop Work Order

BSC-01-D-061

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QA: *QA*

DEFICIENCY/CORRECTIVE ACTION REPORT/STOP WORK ORDER CONTINUATION PAGE

REQUEST FOR EXTENDED PROCESSING:

Issuance of an Annual Document Owner's Report is required by AP-6.1Q and is the corrective action necessary to close Deficiency Report BSC-01-D-061. The issuance of the Annual Document Owner's Report has not been completed within the normal processing time because of the extent of the condition of the Controlled Document Information System (CDIS) database.:

Conditions/Problems

1. There are approximately 7024 controlled document in CDIS. Approximately 90% had either support personnel or terminated employees listed as the owners of controlled documents.

PROGRESS - Research has been completed on these document, identifying responsible organization/managers. Changes to CDIS have been accomplished.

2. Vienna Controlled Documents were transferred to Las Vegas Document Control with the transition. Vienna DC did not utilize the DC Tracking Number System and did not make necessary entries into CDIS to indicate obsolete, cancelled or superseded versions. The impact of this is that the obsolete, cancelled or superseded versions will appear on the Annual Document Owner's Report, making it inaccurate and more timely for the owners to respond back to DC.

PROGRESS - The research is near completion (approx. 175 remaining to research). A new due date of October 10, 2001 is requested for the completion of the Action Item.

The extension of corrective action completion will present no adverse impact.

Patricia Gibson

Responsible Individual - Patricia Gibson for Michelle Prater

9/28/2001

Date

David Calloway

Senior Manager - David Calloway

9/28/2001

Date

Ken Hess

General Manager - Ken Hess

10/01/01

Date

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APPROVAL SIGNATURES FOR REQUEST FOR EXTENDED PROCESSING FOR DR
BSC-01-D-061 (EXTENDED PROCESSING REQUESTED UNTIL 10/10/01)

DOE Project Manager

Date

Acting Director, Office of Quality Assurance

Date

Deficiency closed prior to obtaining
signatures and, therefore,
are no longer applicable.

Deborah J. Opilowski
1/7/02

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DEFICIENCY/CORRECTIVE ACTION REPORT/STOP WORK ORDER CONTINUATION PAGE

CORRECTIVE ACTIONS VERIFIED DR BSC-01-D-061

BLOCK 14a – IMMEDIATE ACTIONS

Commitment: (1) Supervisor and Leads directed Document Control (DC) staff to use the name from the approved document. (2) Made appropriate changes to Controlled Document Information System (CDIS).

Verification: (1) E-Mail dated 7/23/01 from Patricia Gibson to Staff and meeting agenda dated 10/25/01 document instructions to staff on entering the document owner according to the DCAR (Document Control Action Request) (2) See item 2 in Block 14 below.

BLOCK 14 – REMEDIAL ACTIONS

Commitment: (1) A Master Report of all effective controlled documents will be made. (2) DC will make necessary changes in CDIS based on results of updating the Master Report.

Verification: (1) The Master Controlled Document Report was generated by DC on 4/11/01 as a working copy to update the control database, the report is 552 pages long. Examined the report and it appeared adequate. On 4/25/01 Transmittals requesting status updates for Controlled Documents identified as "Plans" were sent to Plan Owners (Performed to resolve CIRS issue #1268). On 10/8/01 transmittals for all controlled documents except "Plans" were forwarded to document owners to check current status. (2a) Examined CDIS (the controlled database) on-line for a representative sample of "Plans" as controlled documents – selected TDP type records and confirmed owner assigned appeared acceptable (TDP-MGR-NU-000002/Trautner; TDP-MGR-MD-000003/Sorensen; TDP-EBS-NU-000006/Trautner; TDP-CRW-GS-000001/Williams; TDP-EBS-MD-000010/Voegele; TDP-WIS-MD-000021/Andrews; TDP-EBS-MD-000030/Andrews; TDP-SVS-HV-000002/Trautner; and TDP-SED-EL-000001/Trautner). (2b) Examined CDIS on-line for a representative sample of all documents excluding "Plans" as controlled documents – selected 6 records.

DOCUMENT #	ASSIGNED TO	OWNER'S REPORT ASSIGNMENT	CDIS ASSIGNMENT
CAL-WIS-PA-000003	O'Donnell	Williams	Williams
B00000000-01717-0200-00078	Opelski	Davis	Davis
ANL-EBS-MD-000026	Voegele	Andrews	Andrews
PRO-FB-003	VonderLinden	VonderLinden	VonderLinden
AP-3.13Q	Voegele	Whitcraft	Whitcraft
POC-MG-005	Pearman	O'Donnell	(Reassigned)
POC-MG-005 con't	O'Donnell	Turner	Turner

Entries examined on CDIS were compatible with returned transmittals for the "2001 Annual Owners Report."

BLOCK 15 - EXTENT OF CONDITION

Commitment: (1) Contact National Laboratory Document Control leads to coordinate issuance of internal Document Owner's Reports. (2) Research Vienna Controlled Documents to determine active revision and DC tracking numbers.

Verification: Verified Memo from Michelle Prater to National Lab DC Leads dated 10/10/01 to issue Document Owner's Reports. Also examined Lab Lead responses: Berkeley Lab letter from Carol Valladao to Michelle Prater dated 10/11/01; USGS letter from Alexandra Anderson to Michelle Prater dated 10/15/01; Sandia National Lab memo from Jose Archuleta to Michelle Prater dated 10/30/01; Lawrence Livermore National Laboratory memo from Mike Belanger to Michelle Prater dated 10/26/01; and Los Alamos National Laboratory memo from Cleoves Martinez to Michelle Prater dated 10/31/01. (2) Examined result of Vienna document review, no action was required all documents were either obsolete or were currently represented in existing DC system.

Impact: Per e-Mail Pat Gibson to Deborah Opielowski dated 12/3/2001, QAR agrees with DC assessment that there were no impacts to quality as a result of the DR conditions.

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CORRECTIVE ACTIONS VERIFIED DR BSC-01-D-061 continued

BLOCK 16 – CAUSE

The cause of the deficient condition identified in this DR is reasonable based upon the April 24, 2001 and October 2, 2001 responses.

BLOCK 17 – ACTION TO PRECLUDE RECURRENCE

Commitment: (1) DC staff receiving documents for control and distribution will ensure the correct owner identity. (2) A Document Owner's Annual Report will be issued.

Verification: (1) Discussed checking process used to ensure the correct owner identity with Pat Gibson and examined Electronic File Certification form AP-6.1Q.8 for the documentation process, process appears effective. (2) Checked returned owner's reports for VonderLinden, Mellington, Barrett, Horton, Pearman, Reilly, Whitcraft, Cereghino, Voegele, and O'Donnell – status and information appeared to be acceptable.

As of 1/3/02 six out of 40 document owner's reports are still being worked. All owners have responded and a Document Owner's Action Plan has been generated by Document Control (Pat Gibson) to follow through with the remaining six owners. Schedule for completion is 1/31/2002 and current progress supports this date. Document Control has demonstrated to this QAR their commitment to finalize the status actions in cooperation with document owners.

Based upon the satisfactory verification of corrective action commitments described above, it is recommended that this DR be closed.


QAR: James V. Voigt

4 January 2002