

FEB 19 2002

cc w/encl:

N. K. Stablein, NRC, Rockville, MD
Robert Latta, NRC, Las Vegas, NV
S. W. Lynch, State of Nevada, Carson City, NV
Engelbrecht von Tiesenhausen, Clark County, Las Vegas, NV
C. B. Martinez, BSC/LANL, Los Alamos, NM
L. A. Buenviaje, BSC, Los Alamos, NM, M/S J521
R. W. Andrews, BSC, Las Vegas, NV
G. K. Beall, BSC, Las Vegas, NV
S. H. Horton, BSC, Las Vegas, NV
R. P. Keele, BSC, Las Vegas, NV, M/S 280
D. T. Krisha, BSC, Las Vegas, NV
D. M. Kunihiro, BSC, Las Vegas, NV
T. J. Wall, BSC, Las Vegas, NV
N. H. Williams, BSC, Las Vegas, NV
W. J. Glasser, NQS, Las Vegas, NV
K. A. Hodges, NQS, Las Vegas, NV
D. G. Opielowski, NQS, Las Vegas, NV
C. M. Palay, NQS, Las Vegas, NV
J. R. Dyer, DOE/YMSCO, Las Vegas, NV
C. E. Hampton, DOE/YMSCO, Las Vegas, NV
D. G. Horton, DOE/YMSCO, Las Vegas, NV
S. P. Mellington, DOE/YMSCO, Las Vegas, NV
J. M. Replogle, DOE/YMSCO, Las Vegas, NV
B. M. Terrell, DOE/YMSCO, Las Vegas, NV



Department of Energy

Washington, DC 20585

QA: QA

FEB 19 2002

P. R. Dixon, Laboratory Lead
Los Alamos National Laboratory
University of California
P.O. Box 1663
Los Alamos, NM 87545

VERIFICATION OF CORRECTIVE ACTIONS AND CLOSURE OF DEFICIENCY REPORT (DR) LANL-02-D-060

The Office of Quality Assurance staff has evaluated the corrective actions of DR LANL-02-D-060 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 Christian M. Palay at (702) 794-1486.

James Blaylock
Ram Murthy, Acting Director
Office of Quality Assurance

OQA:JB-0677

Enclosure:
DR LANL-02-D-060



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OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

8. ☒ DEFICIENCY REPORT
☐ CORRECTIVE ACTION
REPORT
NO. LANL-02-D-060
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DEFICIENCY/CORRECTIVE ACTION REPORT

DOO 1/8/02

1. Controlling Document:

AP-SIII.1Q, Rev.1/ICN1

2. Related Report No.:

NA

3. Responsible Organization:

LANL

4. Discussed With:

Larry Hersman

5. Requirement:

AP-SIII.1Q Subsection 5.1.9, states in part, "The investigator is responsible for the security of the scientific notebook in accordance with AP-17.1Q until it is submitted to the RPC, ..."

6. Description of Condition:

The scientific notebook SN-LANL-SCI-014-V1 YMP Microbiology Subtask Siderphore Characterization was lost and efforts to locate it have been unsuccessful. This LANL Scientific Notebook was opened in 1992 as LANL Scientific Notebook TWS-LS-2-10-92-001 and was reviewed for compliance in 1999.

An extent of condition investigation is underway to determine if DTNs were generated from this Scientific Notebook and determine impact. This is believed to be an isolated case of a lost Scientific Notebook.

7. Initiator:

Cleaves B. Martinez

Cleaves B. Martinez

Date 12/19/01

8. Does a stop work condition exist? (Not required for a DR)

☐ Yes ☒ No

If Yes, Check One:

☐ A ☐ B ☐ C ☐ D

10. Recommended Actions:

None.

11. QA Review:

QAR Christian M. Palay

Date 01/09/02

12. Response Due Date:

10 working days from issuance

13. DOQA Issuance Approval:

Printed Name Ram Murthy

Signature

Ram Murthy

Date

1/11/02

22. Corrective Actions Verified

QAR

Christian M. Palay

Date

02/13/02

23. Closure Approved by

DOQA *Ram Murthy*

Date

2/15/02

Exhibit AP-16.1Q.1-

Rev. 12/20/1999

ENCLOSURE

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TYPE RESPONSE:

- ☐ Initial
☒ Complete
☐ Amended

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DEFICIENCY/CORRECTIVE ACTION REPORT (RESPONSE)

14a. Immediate Actions:

None, see block 15.

Compliance Date: NA

14. Remedial Actions:

As remedial action, the data in DTN # LA000000000132.001 has been changed in the ATDT from Qualified to Non-Qualified, with a notation that "the raw data within the scientific notebook that supports this DTN has been lost and traceability for the data is not readily available. The data for this DTN will need to be re-qualified by an alternate method acceptable to QARD requirements."

A review of the DIRS also indicates that the notebook was not referenced in any other technical products.

As this is an isolated incident and no adverse impact to quality has been identified, no further corrective action is required.

15. Extent of Condition:

A complete review, by the LANL Technical Assurance Project Leader, of all 297 notebooks listed as issued by LANL has accounted for all LANL Scientific Notebooks shown on the Scientific Notebook register except for SN-LANL-SCI-014-V1.

The investigation identified the data generated from raw data within scientific notebook, SN-LANL-SCI-014-V1. The identified data is contained in DTN # LA000000000132.001, and is the only DTN that was generated from the scientific investigations documented in the notebook. An Impact Review Action Notice (IRAN 698-A) was initiated to determine the extent of data use from the referenced DTN, results of the IRAN indicate that the data was not referenced by anyone to date. The results of the IRAN indicates no impact

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

The cause was lack of attention to the security requirements of AP-SIII.1Q, 5.1.9, by the responsible scientific notebook owner.

17. Action to Preclude Recurrence:

As this is an isolated incident and all other scientific notebooks have been located, the only action to be taken is issuance of a memo to all PIs, reiterating the importance of safeguarding scientific notebooks.

18. Due Date: 2/8/02

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

19. Response by:

Cleaves B. Martinez

Date 2/5/02 Phone 505-667-4155

20. Evaluation: ☒ Accept ☐ Partially Accept ☐ Reject

QAR

08/05/02
Date of 2-5-02

21. Concurrence:

DOQA James Blaylock

Date 2/7/02

Exhibit AP-16.1Q.1-

Rev. 12/20/1999

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8. ☒ DR/CAR
☐ Stop Work Order

NO. LANL-02-D-060

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DEFICIENCY/CORRECTIVE ACTION REPORT/STOP WORK ORDER CONTINUATION PAGE

Verification of Corrective Actions for Deficiency Report (DR) LANL-02-D-060

The initial/complete response of this DR outlined corrective actions requiring QAR verification in the following blocks:

14. Remedial Actions:

During the extent of condition investigation, only one data set originated from the lost scientific notebook, SN-LANL-SCI-014-V1. This data set is identified by its data tracking number (DTN): LA000000000132.001. The remedial actions for this DR involved changing the qualification status of this DTN to unqualified and adding the relevant history of this DR and its effect on the DTN in the comment section of the Technical Data Information Form (TDIF). These modifications to the TDIF were verified on the on-line automated technical data tracking system.

15. Extent of Condition:

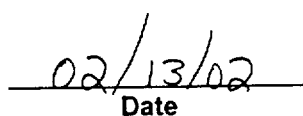
The extent of condition indicate that an impact review per AP-2.14Q, *Review of Technical Products and Data*, was initiated to determine the impact of the change the in qualification status for the one identified DTN. The Impact Review Action Notice (IRAN) was verified as indicating that there was no impact to any technical products using the one identified DTN.

17. Actions To Preclude Recurrence

Given the isolated nature of the extent of condition (1 out of 297 accounted for LANL Scientific Notebooks), an internal electronic memo (dated 02/11/02) from the LANL Engineering Assurance Manager (Cleoves Martinez) was issued to all LANL YMP Principal Investigators using scientific notebooks. This memo summarized the details of this DR and emphasized the importance of the record security requirements regarding scientific notebooks. The electronic memo was forwarded to the QAR and was verified as a competed action.

Based on the above evaluation, the QAR recommends closure of DR LANL-02-D-060.


QAR Signature


Date