



Department of Energy

Washington, DC 20585

QA: QA

APR 25 2003

MEMORANDUM FOR: R. Dennis Brown (RW-3)

FROM:

Kerry M. Grooms, Acting Team Lead Assessments
Office of Quality Assurance

SUBJECT:

Closure of Deficiency Report (DR) OQA(O)-03-D-062 Resulting
from Quality Assurance Documents that are Not Retrievable from the
Records Processing Center

The Office of Civilian Radioactive Waste Management staff has determined that no verification of corrective actions for DR OQA(O)-03-D-062 is required. As a result, the DR is considered closed.

If you have any questions, please contact Kerry M. Grooms at (702) 794-1367.

OQA:KMG-1093

Enclosure:

DR OQA(O)-03-D-062

cc w/encl:

N. K. Stablein, NRC, Rockville, MD
Robert Latta, NRC, Las Vegas, NV (2 cys)
S. W. Lynch, State of Nevada, Carson City, NV
L. W. Bradshaw, Nye County, Pahrump, NV
C. A. Humphries-Alder, BSC, Las Vegas, NV
W. J. Glasser, NQS, Las Vegas, NV
D. G. Opielowski, NQS, Las Vegas, NV
L. W. Wagner, NQS, Las Vegas, NV
B. M. Terrell, DOE/ORD (RW-40), Las Vegas, NV



ORIGINAL

OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.8. ☒ DEFICIENCY REPORT☐ CORRECTIVE ACTION
REPORT

NO. OQA(O)-03-D-062

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DEFICIENCY REPORT/CORRECTIVE ACTION REPORT

1. Controlling Document: (Document ID and Revision or Date)

DOE/RW-0333P, Rev 12, (Sec. 17.0 Rev. 2, Effective Date: 03/03/97)

2. Related Report No.:

RVW-02-02

3. Responsible Organization:

OCRWM

4. Discussed With:

J. Blaylock, R. Hasson, R. Keele, R. Powe, L. Wagner

5. Requirement:

17.2.2 Creating Valid Quality Assurance Records

A. Implementing documents shall:

1. Identify those documents that will become QA records.

2. Identify the organization responsible for submitting the QA records to the records management system....

C. Individuals handling QA records shall protect them from damage or loss until the records are submitted to the records management systems.

17.2.12 Replacement of Quality Assurance Records

Organizations originating QA records shall develop implementing documents that identify means for replacement, restoration, or substitution of lost or damaged QA records.

6. Description of Condition:

There is no objective evidence to verify that numerous QA documents generated by the Office of Quality Assurance have been submitted to the Records Processing Center as required. Attached is a list of those QA audits, surveillances, conditions adverse to quality and nonconformance reports that could not be obtained.

Has work been stopped? ☐ Yes ☒ No

7. Initiator:

Cynthia A. Humphries-Alder

Printed Name

Signature

Date

9. Does a stop work condition exist?

☐ Yes ☒ No ☐ N/A

If Yes, Check One:

☐ A ☐ B ☐ C ☐ D

10. Recommended Actions:

NONE.

11. QA Review:

Lester W. Wagner

Printed Name

Signature

Date

12. Response Due Date:

10 Working Days after Issuance

13. QAM Issuance Approval:

Printed Name R. Dennis Brown

Signature

Date 12/24/02

14. Corrective Actions Verified/Closure

Lester W. Wagner

QAR Printed Name

Signature

Date

15. QAM Closure Approval:

RD Brown

Printed Name

Signature

Date

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

D604/23/03

☒ DR/CAR/QO
☐ SWO

NO. OQA(O)-03-D-062

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CONDITION ADVERSE TO QUALITY CONTINUATION PAGE

NOTE: These requirements were originally imposed on OCRWM project "Participants" as stipulated in ASME NQA-1-1989 and its interface with DOE/RW-0214, Rev. 3, "Quality Assurance Requirements Document" effective 4/12/90.

OQA Audit Plans and Reports

Audit No.	Auditing Organization	Auditee	Plan Accession No.	Report Accession No.	Date Audit Scheduled/Conducted
OQA-SA-95-006	OCRWM/OQA YMP	UNKNOWN	INDETERMINATE	INDETERMINATE	INDETERMINATE
YM-SFE-95-001	OCRWM/OQA YMP	Activation Laboratory	INDETERMINATE	INDETERMINATE	6/21-23/1995
OQA-SFE-95-002	OCRWM/OQA YMP	Baker-Hughes INTEQ	INDETERMINATE	INDETERMINATE	10/4-5/1995
LLNL-ARP-97-20	OCRWM/OQA	LLNL	INDETERMINATE	MOL.19980119.0035	9/15-19/1997
LANL-ARP-97-21	OCRWM/OQA	LANL	INDETERMINATE	INDETERMINATE	INDETERMINATE
OQA-SA-97-003	OCRWM/OQA	Transnuclear, Inc.	INDETERMINATE	MOL.19970402.0075	11/18/1996
OQA-SA-97-007	OCRWM/OQA	Kiewit/Parsons Brinckerhoff (Kiewit/PB)	INDETERMINATE	MOL.19970722.0286	11/18/1996
OQA-SA-97-009	OCRWM/OQA	National Ocean Sciences	INDETERMINATE	MOL.19970417.0062	3/4/1997
OQA-SA-97-010	OCRWM/OQA	Beta Analytic	INDETERMINATE	MOL.19970626.0256	2/18/1997
OQA-SA-99-026	OCRWM/OQA	UNR	INDETERMINATE	INDETERMINATE	9/13-15/1999
OQA-SA-99-029	OCRWM/OQA	Accutech	INDETERMINATE	INDETERMINATE	9/15-16/1999

OQA Conditions Adverse to Qua'

CAQ Number	Issuing Organization	RIS Web Accession No
DR 89-002	OCRWM/OQA/HQ	INDETERMINATE
DR 89-003	OCRWM/OQA/HQ	INDETERMINATE
DR 89-006	OCRWM/OQA/HQ	INDETERMINATE
DR 89-007	OCRWM/OQA/HQ	INDETERMINATE
DR 89-008	OCRWM/OQA/HQ	INDETERMINATE
DR 89-009	OCRWM/OQA/HQ	INDETERMINATE
DR 89-010	OCRWM/OQA/HQ	INDETERMINATE
DR 89-011	OCRWM/OQA/HQ	INDETERMINATE
DR 89-012	OCRWM/OQA/HQ	INDETERMINATE
DR 89-016	OCRWM/OQA/HQ	INDETERMINATE
OQA-SA-99-029	OCRWM/OQA/HQ	INDETERMINATE
DR 89-019	OCRWM/OQA/HQ	INDETERMINATE
DR 89-032	OCRWM/OQA/HQ	INDETERMINATE
DR 89-033	OCRWM/OQA/HQ	INDETERMINATE
DR 89-034	OCRWM/OQA/HQ	INDETERMINATE
DR 89-035	OCRWM/OQA/HQ	INDETERMINATE
DR 90-002	OCRWM/OQA/HQ	INDETERMINATE
DR 90-011	OCRWM/OQA/HQ	INDETERMINATE
DR 90-014	OCRWM/OQA/HQ	INDETERMINATE
DR 90-015	OCRWM/OQA/HQ	INDETERMINATE
DR 90-016	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-91-013	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-91-014	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-91-016	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-91-017	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-91-018	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-91-019	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-91-023	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-91-024	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-91-025	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-91-027	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-91-029	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-91-031	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-91-032	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-92-002	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-92-004	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-92-009	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-92-010	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-92-011	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-92-016	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-92-018	OCRWM/OQA/HQ	INDETERMINATE
CAR HQ-93-025	OCRWM/OQA/HQ	INDETERMINATE
CAR 90-001	OCRWM/OQA/YMP	INDETERMINATE
CAR 90-002	OCRWM/OQA/YMP	INDETERMINATE
SDR 552	OCRWM/OQA/YMP	INDETERMINATE
CAR YM-91-043	OCRWM/OQA/YMP	INDETERMINATE
CAR YM-91-074	OCRWM/OQA/YMP	INDETERMINATE
CAR YM-91-075	OCRWM/OQA/YMP	INDETERMINATE
CAR YM-91-076	OCRWM/OQA/YMP	INDETERMINATE
CAR YM-92-005	OCRWM/OQA/YMP	INDETERMINATE

QQA Conditions Adverse to Qua'

CAQ Number	Issuing Organization	RIS Web Accession No.
CAR YM-92-014	OCRWM/OQA/YMP	INDETERMINATE
CAR YM-92-015	OCRWM/OQA/YMP	INDETERMINATE
CAR YM-92-016	OCRWM/OQA/YMP	INDETERMINATE
CAR YM-92-036	OCRWM/OQA/YMP	INDETERMINATE
CAR YM-92-037	OCRWM/OQA/YMP	INDETERMINATE
CAR YM-92-046	OCRWM/OQA/YMP	INDETERMINATE
CAR YM-92-065	OCRWM/OQA/YMP	INDETERMINATE
CAR YM-92-066	OCRWM/OQA/YMP	INDETERMINATE
CAR YM-92-067	OCRWM/OQA/YMP	INDETERMINATE
CAR YM-92-068	OCRWM/OQA/YMP	INDETERMINATE
CAR YM-94-001	OCRWM/OQA/YMP	INDETERMINATE
LVMO-98-D-008	OCRWM/OQA	INDETERMINATE
BSC(O)-02-D-121	OCRWM/OQA	INDETERMINATE
BSC(O)-02-D-123	OCRWM/OQA	INDETERMINATE
BSC(O)-02-D-124	OCRWM/OQA	INDETERMINATE
OCRWM(O)-02-D-143	OCRWM/OQA	INDETERMINATE
YMSCO(O)-02-D-156	OCRWM/OQA	INDETERMINATE
OQA(O)-02-D-158	OCRWM/OQA	INDETERMINATE
BSC(O)-02-D-167	OCRWM/OQA	INDETERMINATE
BSC(O)-02-D-168	OCRWM/OQA	INDETERMINATE
OCRWM(O)-02-D-174	OCRWM/OQA	INDETERMINATE
BSC(O)-02-D-188	OCRWM/OQA	INDETERMINATE
BSC(O)-02-O-002	OCRWM/OQA	INDETERMINATE
OQA(O)-02-O-058	OCRWM/OQA	INDETERMINATE
BSC(O)-02-O-065	OCRWM/OQA	INDETERMINATE
OQA(O)-02-O-073	OCRWM/OQA	INDETERMINATE
YMSCO(O)-02-O-074	OCRWM/OQA	INDETERMINATE
BSC(O)-02-O-076	OCRWM/OQA	INDETERMINATE

OQA Nonconformance Report

NCR ID No	Issuing Organization	Accession No
YMPO-94-0052	YMPO	INDETERMINATE
YMSCO-99-0007	YMSCO	INDETERMINATE

OQA Surveillance Reports

Surveillance Number	Issuing Organization	Accession Number
HQ-SR-89-001	OCRWM/OQA/HQ	INDETERMINATE
YMP-SR-89-056	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-89-058	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-89-059	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-89-078	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-89-079	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-89-126	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-89-132	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-90-014	OCRWM/OQA/YMP	INDETERMINATE
HQ-SR-91-009	OCRWM/OQA/HQ	INDETERMINATE
OQA-SA-99-029	OCRWM/OQA/HQ	INDETERMINATE
YMP-SR-91-024	OCRWM/OQA/YMP	INDETERMINATE
HQ-SR-92-011	OCRWM/OQA/HQ	INDETERMINATE
YMP-SR-92-016	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-92-024	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-92-028	OCRWM/OQA/YMP	INDETERMINATE
HQ-SR-93-002	OCRWM/OQA/HQ	INDETERMINATE
HQ-SR-93-004	OCRWM/OQA/HQ	INDETERMINATE
HQ-SR-93-006	OCRWM/OQA/HQ	INDETERMINATE
YMP-SR-93-004	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-93-010	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-93-034	OCRWM/OQA/YMP	INDETERMINATE
HQ-SR-94-005	OCRWM/OQA/HQ	INDETERMINATE
HQ-SR-94-006	OCRWM/OQA/HQ	INDETERMINATE
HQ-SR-94-007	OCRWM/OQA/HQ	INDETERMINATE
YMP-SR-94-057	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-94-061	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-94-068	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-95-008	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-95-041	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-95-047	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-95-048	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-96-003	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-96-006	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-96-017	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-96-021	OCRWM/OQA/YMP	INDETERMINATE
YMP-SR-97-009	OCRWM/OQA	INDETERMINATE
YMP-SR-97-042	OCRWM/OQA	INDETERMINATE
YMP-SR-97-047	OCRWM/OQA	INDETERMINATE
YMP-SR-97-048	OCRWM/OQA	INDETERMINATE
YMP-SR-97-059	OCRWM/OQA	INDETERMINATE
YMP-SR-98-009	OCRWM/OQA	INDETERMINATE
YMP-SR-98-012	OCRWM/OQA	INDETERMINATE
YMP-SR-98-015	OCRWM/OQA	INDETERMINATE
LVMO-SR-99-006	OCRWM/OQA	INDETERMINATE
LVMO-SR-99-008	OCRWM/OQA	INDETERMINATE

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2. Check if Amended ☐

3. Extended Processing

☒ No ☐ Yes (If yes, submit
Extended Processing request)

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

1. DR/CAR NO. OQA(O)-03-D-062
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DEFICIENCY REPORT/CORRECTIVE ACTION REPORT INITIAL RESPONSE

4. Immediate Actions Necessary to Bring the Process Under Control: (If none, provide justification statement)

The current process is not in question on this DR. The Items identified in this DR are historical records that the initiator could not verify to be within the Records Processing Center (RPC).

Date when process will meet requirements: N/A

5. Immediate Remedial Actions Completed:

Items identified on attachment # 1 to this DR response, have been located and Identified with Accession Numbers. The only items identified in the DR that were issued since 2000 were sixteen deficiencies, all of which were found to have been transmitted to the RPC prior to the initiation of this DR and did not have accession numbers assigned yet or not yet completed record packages that were required to be sent to the RPC. The remaining items identified on the DR are being worked via a review of records, schedules, and transmittals. Those items which cannot be located will be evaluated for impact.

6. Plan for Determining the Extent of Condition:

Extent of condition is not applicable since the DR identifies all missing items.

7. Due Date for Submittal of Completed Response:

4/4/03

8. Response by: (Responsible Manager)

R. Dennis Brown

Printed Name

Signature

2/4/03
Date

9. QAR Evaluation: ☒ Accept ☐ Partially Accept ☐ Reject

Lester W. Wagner

Printed Name

Signature

2/4/03
Date

10. QAM Concurrence:

R. Dennis Brown

Printed Name

Signature

2/4/03
Date

ATTACHMENT # 1

OQA(O)-03-D-062

CAQ Number	Issuing Organization	RIS Web Accession #
DR 89-002	OCRWM/OQA/HQ	HQA.900906.0005
DR 89-003	OCRWM/OQA/HQ	MOL.20021106.0078
DR 89-006	OCRWM/OQA/HQ	HQA.900906.0009
DR 89-007	OCRWM/OQA/HQ	HQA.910318.0017
DR 89-008	OCRWM/OQA/HQ	MOL.19980820.0141
DR 89-009	OCRWM/OQA/HQ	MOL.19980612.0234
DR 89-010	OCRWM/OQA/HQ	MOL.19980612.0235
DR 89-011	OCRWM/OQA/HQ	MOL.19980612.0236
DR 89-017	OCRWM/OQA/HQ	MOL.19980716.0483
DR 89-034	OCRWM/OQA/HQ	NNA.900518.0125
DR 89-035	OCRWM/OQA/HQ	HQA.910409.0028
DR 90-002	OCRWM/OQA/HQ	HQA.910423.0002
DR 90-011	OCRWM/OQA/HQ	HQA.910508.0009
DR 90-015	OCRWM/OQA/HQ	HQA.910508.0010
DR 90-016	OCRWM/OQA/HQ	HQA.910508.0011
CAR HQ-91-013	OCRWM/OQA/HQ	HQA.910712.0021
CAR HQ-91-017	OCRWM/OQA/HQ	HQA.920717.017
CAR HQ-91-018	OCRWM/OQA/HQ	MOL.20021030.0006
CAR HQ-91-025	OCRWM/OQA/HQ	HQA.911212.0010
CAR HQ-91-027	OCRWM/OQA/HQ	HQA.920814.0004
CAR HQ-91-029	OCRWM/OQA/HQ	HQA.920814.0005
CAR YM-91-043	OCRWM/OQA/YMP	MOL.19980504.0430
CAR YM-91-074	OCRWM/OQA/YMP	NNA.940112.0095
CAR YM-91-075	OCRWM/OQA/YMP	NNA.940112.0104
CAR YM-91-076	OCRWM/OQA/YMP	NNA.19940112.0106
CAR YM-92-005	OCRWM/OQA/YMP	NNA.920219.0085
CAR YM-92-014	OCRWM/OQA/YMP	MOY-920127-04-02
CAR YM-92-015	OCRWM/OQA/YMP	NNA.920127.0030
CAR YM-92-016	OCRWM/OQA/YMP	NNA.920127.0036
CAR YM-92-036	OCRWM/OQA/YMP	NNA.920925.0083
CAR YM-92-037	OCRWM/OQA/YMP	MOL.19980513.0116
CAR YM-92-046	OCRWM/OQA/YMP	MOL.19980226.0325
CAR YM-92-065	OCRWM/OQA/YMP	NNA.19930503.0077
CAR YM-92-066	OCRWM/OQA/YMP	NNA.930119.0213
CAR YM-92-067	OCRWM/OQA/YMP	NNA.930119.0215
CAR YM-92-068	OCRWM/OQA/YMP	NNA.930119.0217
CAR YM-94-001	OCRWM/OQA/YMP	NNA.940601.0059
DR LVMO-98-D-008	OCRWM/OQA	MOL.19980410.0722
DR BSC(O)-02-D-121	OCRWM/OQA	Transmittal Attached
DR BSC(O)-02-D-123	OCRWM/OQA	Transmittal Attached
DR BSC(O)-02-D-124	OCRWM/OQA	Transmittal Attached
DR OCRWM(O)-02-D-143	OCRWM/OQA	Transmittal Attached
DR YMSCO(O)-02-D-156	OCRWM/OQA	Transmittal Attached
DR OQA(O)-02-D-158	OCRWM/OQA	Transmittal Attached
DR BSC(O)-02-D-167	OCRWM/OQA	Transmittal Attached
DR BSC(O)-02-D-168	OCRWM/OQA	Transmittal Attached
DR OCRWM(O)-02-D-174	OCRWM/OQA	Transmittal Attached
DR BSC(O)-02-D-188	OCRWM/OQA	Transmittal Attached
DR BSC(O)-02-O-002	OCRWM/OQA	Transmittal Attached
DR OQA(O)-02-O-058	OCRWM/OQA	Transmittal Attached
DR BSC(O)-02-O-065	OCRWM/OQA	Transmittal Attached
DR OQA(O)-02-O-073	OCRWM/OQA	Transmittal Attached
DR YMSCO(O)-02-O-074	OCRWM/OQA	Transmittal Attached
DR BSC(O)-02-O-076	OCRWM/OQA	Transmittal Attached

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[illegible]

MOY-021104-04

9. Date
10/30/02

11. Date
11-04-02

14. Mailstop	15. Date
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17. Date

19. Date

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Complete, Only Applicable Items

5. Comments

May-02/218-11

AP-17.1Q.2

Rev. 04/30/2001

**OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT
TRANSMITTAL/RECEIPT ACKNOWLEDGEMENT**

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Complete Only Applicable Items

2. Record Date	3. Title/Subject/Description of Records	4. No. of Pages
12/27/02	DR OQA(O)-02-D-158	15
12/27/02	DR OQA(O)-02-D-188	16
12/27/02	DR BSC(B)-03-D-027	8
12/27/02	DR BSC(B)-03-D-029	8
12/27/02	QO BSC(B)-02-O-068	2
12/27/02	QO BSC(B)-02-O-070	6
12/27/02	QO BSC(B)-02-O-071	2
12/27/02	QO BSC(B)-02-O-072	2
12/27/02	QO YMSCO(O)-02-O-074	2
12/27/02	QO BSC(B)-02-O-075	6
12/27/02	QO BSC(V)-02-O-077	3
12/27/02	QO BSC(B)-02-O-078	2
12/27/02	QO BSC(V)-02-O-079	5
12/27/02	QO OCRWM(O)-03-O-001	2
12/27/02	QO BSC(V)-03-O-002	2
12/27/02	QO BSC(B)-03-O-003	3
12/27/02	QO BSC(B)-03-O-004	2

5. Comments

6. Source of TRA Deborah G. Opielowski		7. Organization OQA/NQS	8. Mailstop 455	9. Date 12/27/02
10. RPC/Recipient <i>Vanita</i>		11. Date 1/6/03		
12. Sender	13. Organization	14. Mailstop	15. Date	
16. Source of TRA		17. Date		
18. RPC Acceptance		19. Date		

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[illegible]

may 030/2017

6. Source of TRA Deborah G. Opielewski	7. Organization OQA/NQS	8. Mailstop 455	9. Date 1/7/03
10. RPC Recipient <i>[Signature]</i>	11. Date 1/20/03		
12. Sender <i>[Signature]</i>	13. Organization OQA/NQS	14. Mailstop 455	15. Date 1/20/03
16. Source of TRA <i>[Signature]</i>	17. Date 1/20/03		
18. RPC Acceptance <i>[Signature]</i>	19. Date 1/20/03		

**OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT
TRANSMITTAL/RECEIPT ACKNOWLEDGEMENT**

1. QA: QA

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Complete Only Applicable Items

2. Record Date	3. Title/Subject/Description of Records	4. No. of Pages
10/14/02	QO BSC(B)-02-O-024 <i>TOC. MOL. 20021125.0125, PKg ID-MOY-021028-12-01</i>	3
10/14/02	QO LBNL(B)-02-O-031 <i>TOC-MOL. 20021125.0127, PKg ID-MOY-021028-12-02</i>	3
10/14/02	QO BSC(V)-02-O-054 <i>TOC. MOL. 20021125.0130, PKg ID-MOY-021028-12-03</i>	3
10/14/02	QO BSC(B)-02-O-056 <i>TOC-MOL. 20021125.0132, PKg ID-MOY-021028-12-04</i>	2
10/14/02	QO BSC(B)-02-O-059 <i>TOC-MOL. 20021125.0134, PKg ID-MOY-021028-12-05</i>	3
10/14/02	QO LANL(B)-02-O-062 <i>TOC-MOL. 20021125.0136, PKg ID-MOY-021028-12-06</i>	5
10/14/02	QO BSC(B)-02-O-066 <i>TOC. MOL. 20021125.0138, PKg ID-MOY-021028-12-07</i>	3
10/14/02	QO BSC(B)-02-O-067 <i>TOC-MOL. 20021125.0140, PKg ID-MOY-021028-12-08</i>	2
10/14/02	QO BSC(O)-02-O-076 <i>TOC-MOL. 20021125.0142, PKg ID-MOY-021028-12-09</i>	2
10/14/02	DR BSC(V)-02-D-115 <i>TOC-MOL. 20021125.0144, PKg ID-MOY-021028-12-10</i>	24
10/14/02	DR BSC(O)-02-D-121 <i>TOC-MOL. 20021125.0152, PKg ID-MOY-021028-12-11</i>	21
10/14/02	DR BSC(O)-02-D-123 <i>TOC-MOL. 20021125.0161, PKg ID-MOY-021028-12-12</i>	19
10/14/02	DR BSC(B)-02-D-130 <i>TOC-MOL. 20021125.0170, PKg ID-MOY-021028-12-13</i>	28
10/14/02	DR BSC(B)-02-D-142 <i>TOC-MOL. 20021125.0180, PKg ID-MOY-021028-12-14</i>	16
10/14/02	DR BSC(V)-02-D-153 <i>TOC-MOL. 20021125.0187, PKg ID-MOY-021028-12-15</i>	26
10/14/02	DR OCRWM(O)-02-D-164 <i>TOC-MOL. 20021125.0242, PKg ID-MOY-021028-12-16</i>	4
10/14/02	DR OQA(O)-02-D-171 <i>TOC-MOL. 20021125.0242, PKg ID-MOY-021028-12-17</i>	3

5. Comments

*Accession Log, MOL. 20021125.0125-0190
MOL. 20021125.0241-0245*

6. Source of TRA <i>Deborah G. Opiełowski</i>		7. Organization OQA/NQS	8. Mailstop 455	9. Date 10/14/02
10. RPC Recipient <i>[Signature]</i>			11. Date 10-24-02	
12. Sender		13. Organization	14. Mailstop	15. Date
16. Source of TRA			17. Date	
18. RPC Acceptance <i>Nanda Lou Carter</i>			19. Date 12-02-02	

1. QA: OA

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EDUCATION

MOL20021017.0069-.0094

#MOY-020924-20

10/17/87

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[illegible]

BATCH # MOY-020503-01			
6. Source of TRA Deborah G. Opielewski	7. Organization OQA/NQS	8. Mailstop 455	9. Date 4/26/02
10. RPC Recipient Dill McKinney		11. Date 5-3-02	
12. Sender	13. Organization	14. Mailstop	15. Date
16. Source of TRA		17. Date	
18. RPC Acceptance Elizabeth Carter		19. Date 7-11-02	

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2. Check if Amended ☐
Check if also Initial Response ☐

3 Extended Processing
☒ No ☐ Yes (if yes, submit Extended Processing request)

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

1. DR/CAR NO : OQA(O)-03-D-062
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DEFICIENCY REPORT/CORRECTIVE ACTION REPORT COMPLETE RESPONSE

4. Extent of Condition: (Amended response will be required if all Extent of Condition Investigations are not complete and documented herein)
See Attachment 1 for extent of condition.

5. Impact: (Provide an impact statement relative to waste isolation and safety, and impact to other work, if any)
The extent of condition fell into two categories. The first category was that the record was found during the investigation for the extent of condition. In that case, the Record Accession number is given on Attachment 1.

The second category was that the record was missing. Upon further investigation (i.e., search of old logs, databases, etc.), it could not be determined definitively that the activity in question was actually performed by the Office of Quality Assurance (OQA). In this case, the impact can be broken down into two scenarios:

1. The activity was never performed. Therefore, there is no impact.
2. The activity was performed, but the record was in fact lost. Since OQA has performed frequent verification over OCRWM's activities, there is no impact on OQA's ongoing evaluation.

Based on this evaluation, there is no impact to safety, waste isolation, or other work.

6. Remedial Actions: (Document all actions necessary to address the results of the Extent of Condition)
N/A-the missing records are unrecoverable.

7. ☐ Root Cause (For a significant CAQ, attached results of formal root cause determination prepared in accordance with AP-16.4Q)
☒ Apparent Cause

The missing records were generated before the OCRWM OQA offices (Yucca Mountain Project office and Headquarters) were consolidated and the differing methods for record keeping were apparently not integrated as well as they should have been.

8. Action to Preclude Recurrence: (Address those actions necessary to prevent the identified cause from recurring)
N/A-OQA operates under a consolidated function.

9. Due Date for Completion of Corrective Action: 4/17/2003
10. Responsible Manager: RD Brown
Printed Name Signature Date 4/21/03

11. QAR Evaluation: ☒ Accept ☐ Partially Accept ☐ Reject
☒ Re-evaluated for significance
LESTER W. WAGNER
Printed Name Signature Date 4/21/03
12. QAM Concurrence: RD Brown
Printed Name Signature Date 4/21/03

CAQ Number	Issuing Organization	Impact Analysis
DR 89-012	OCRWM/OQA/HQ	Unknown, found record package of table of contents, HQP.910320.0006
DR 89-016	OCRWM/OQA/HQ	No impact, record found, MOL.19980616.0419
DR 89-019	OCRWM/OQA/HQ	No impact, record found, MOL.19980831.0376
DR 89-032	OCRWM/OQA/HQ	No impact, record found, HQP.920703.0041
DR 89-033	OCRWM/OQA/HQ	No impact, record found, HQX.891107.0001
DR 90-014	OCRWM/OQA/HQ	No impact, record found, HQO.19900307.0064, last record page
CAR HQ-91-014	OCRWM/OQA/HQ	No impact, record package found, MOY-990409-01-01
CAR HQ-91-016	OCRWM/OQA/HQ	No impact, record package found, MOY-990409-01-01
CAR HQ-91-018	OCRWM/OQA/HQ	No impact, record package found, MOY-990409-01-01
CAR HQ-91-019	OCRWM/OQA/HQ	No impact, record package found, MOY-990409-01-01
CAR HQ-91-023	OCRWM/OQA/HQ	No impact, record package found, MOY-990716-21-04
CAR HQ-91-031	OCRWM/OQA/HQ	Unknown, no record for the issuance of this document
CAR HQ-91-032	OCRWM/OQA/HQ	No impact, record package found, MOY-990503-17-10
CAR HQ-92-002	OCRWM/OQA/HQ	No impact, record found, MOL.20020725.0347
CAR HQ-92-004	OCRWM/OQA/HQ	No impact, record package found, MOY-990503-17-09
CAR HQ-92-009	OCRWM/OQA/HQ	No impact, record package found, MOY-990716-46-01
CAR HQ-92-010	OCRWM/OQA/HQ	No impact, record package found, MOY-990716-46-01
CAR HQ-92-011	OCRWM/OQA/HQ	No impact, record package found, MOY-990716-46-01
CAR HQ-92-016	OCRWM/OQA/HQ	No impact, a record of the CAR transmittal to OQA from CER found, HQX.19920914.0015. No record that OQA issued the CAR.
CAR HQ-92-018	OCRWM/OQA/HQ	No impact, record found, MOL.19980314.0220
CAR HQ-93-025	OCRWM/OQA/HQ	No impact, record found, HQP.19940818.0072
CAR 90-001	OCRWM/OQA/YMP	No impact, record found, HQO.19900612.0017
CAR 90-002	OCRWM/OQA/YMP	No impact, record found, HQX.19900208.0050
SDR 552	OCRWM/OQA/YMP	No impact, record found, MOL.19980629.0132

Non-Conformance Report (NCR) No.	Issuing Organization	Impact Analysis
YMPO-94-0052	Yucca Mountain Project Office	No impact, the old INGRES NCR log (MOL.19991202.0314) shows no NCR with this number was issued
YMSCO-99-0007	Yucca Mountain Site Characterization Office (YMSCO)	No impact, the current Lotus Notes NCR log show no NCR identified as YMSCO-99-0007. However, there is a NCR identified as USGS-99-0007. The Lotus Notes NCR log/database prohibits a YMSCO NCR and an USGS NCR from having duplicate numbers and NCRs can only be identified as either YMSCO or USGS.

Surveillance Number	Issuing Organization	Impact Analysis
HQ-SR-91-013	OCRWM/OQA/HQ	Unknown, no record of the performance for this activity
HQ-SR-93-002	OCRWM/OQA/HQ	Unknown, no record of the performance for this activity
HQ-SR-93-004	OCRWM/OQA/HQ	Unknown, no record of the performance for this activity
HQ-SR-93-006	OCRWM/OQA/HQ	Unknown, no record of the performance for this activity
HQ-SR-94-005	OCRWM/OQA/HQ	No impact, surveillance was cancelled
HQ-SR-94-006	OCRWM/OQA/HQ	No impact, surveillance was cancelled
HQ-SR-94-007	OCRWM/OQA/HQ	No impact, surveillance was cancelled
YMP-SR-96-017	OCRWM/OQA/YMP	No impact, number not assigned in '96 log, activity not performed
YMP-SR-96-021	OCRWM/OQA/YMP	No impact, number not assigned in '96 log, activity not performed
YMP-SR-97-059	OCRWM/OQA	No impact, number not assigned in '97 log, activity not performed

Audit No.	Auditing Organization	Audited Organization	Impact Analysis
OQA-SA-95-006	OCRWM/OQA YMP	Unknown	Unknown, no record that the audit was performed.
OQA-SA-97-003	OCRWM/OQA	Transnuclear	No impact, no record of the plan issuance. However, audit activity documented in report, MOL:19970402.0075
OQA-SA-97-009	OCRWM/OQA	National Ocean Sciences	No impact, no record of the plan issuance. However, audit activity documented in report, MOL:19970417.0062
OQA-SA-97-010	OCRWM/OQA	Beta Analytic	No impact, no record of the plan issuance. However, audit activity documented in report, MOL:19970626.0256

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WASHINGTON, D.C.**

☒ DR/CAR/QO
☐ SWO

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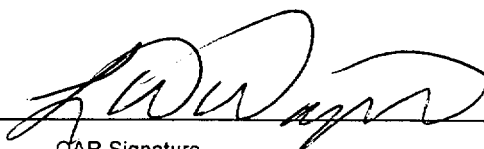
CONDITION ADVERSE TO QUALITY CONTINUATION PAGE

Verification of Corrective Actions for Deficiency Report (DR) OQA(O)-03-D-062

The complete response for this DR does not outline any corrective action commitments requiring verification by the Quality Assurance Representative (QAR). Therefore, the QAR recommends closure of this DR.

Lester W. Wagner

QAR Printed Name



QAR Signature

4/21/03

Date