



Department of Energy
Carlsbad Field Office
P. O. Box 3090
Carlsbad, New Mexico 88221
APR 27 2017



Ms. Mary McDaniel, Manager
Quality and Contractor Assurance
Nuclear Waste Partnership LLC
P.O. Box 2078
Carlsbad, NM 88221-2078

Subject: Issuance of CBFO CARs 17-031 and 17-032 Identified During Audit A-17-21


Dear Ms. McDaniel:

The Carlsbad Field Office (CBFO) performed Recertification Audit A-17-21 of the Nuclear Waste Partnership LLC (NWP) Central Characterization Program/Oak Ridge National Laboratory on April 18 – 20, 2017. Enclosed are Corrective Action Reports (CARs) 17-031 and 17-032 addressing the conditions adverse to quality identified during the audit.

Please provide a documented response for each CAR, ensuring that the required actions indicated in Block 11 are addressed, including a schedule for completion of corrective actions. Please return your responses to me on or before the due date identified in Block 13a of the CAR forms.

If you have any questions concerning the CARs, please contact me at (575) 234-7483.

Sincerely,


Martin P. Navarrete
Senior Quality Assurance Specialist

Enclosure



Ms. Mary McDaniel

-2-

APR 27 2017

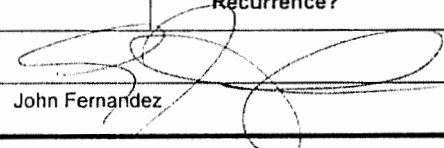
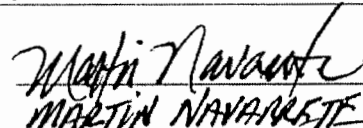
cc: w/enclosure

S. Ross, EM-3.113 *ED
J. Carswell, CBFO ED
M. Brown, CBFO ED
J.R. Stroble, CBFO ED
D. Miehl, CBFO ED
M. Stapleton, CBFO ED
M. Fineran, CBFO ED
N. Castaneda, CBFO ED
L. Wilkerson, DOE-OR ED
P. Breidenbach, NWP ED
J. Britain, NWP ED
F. Sharif, NWP ED
M. Ramirez, NWP ED
R. Reeves, NWP ED
A.J. Fisher, NWP ED
B. Pace, NWP ED
C. Simmons, NWP ED
R. Martin, NWP ED
J. Knox, NWP ED
M. Billett, NWP ED
J. Harvill, NWP ED
J. Carter, NWP ED
V. Ballew, NWP ED

S. Punchios, NWP ED
A. Boyea, NWP ED
J. Walsh, EPA ED
J. Ellis, EPA ED
T. Peake, EPA ED
E. Feltcorn, EPA ED
R. Joglekar, EPA ED
J. Kieling, NMED ED
R. Maestas, NMED ED
D. Biswell, NMED ED
P. Martinez, CTAC ED
M. Leroch, CTAC ED
C. Castillo, CTAC ED
J. Vernon, CTAC ED
J. Schuetz, CTAC ED
J. Fernandez, CTAC ED
K. Chester, CTAC ED
P. Hinojos, CTAC ED
G. White, CTAC ED
Site Documents ED
CBFO QA File
CBFO M&RC

*ED denotes electronic distribution

CBFO CORRECTIVE ACTION REPORT

1. CAR No.: 17-031	2. Activity Report No.: A-17-21	3. Page 1 of 1
4. Controlling document: CCP-PO-005, Rev. 28		5. Responsible CBFO Manager: N/A
6. Responsible organization: NWP/CCP		7. CAQ discussed with: J. Knox
8. Requirement: CCP-PO-005, Rev. 28, <i>CCP Conduct of Operations</i> , section 18.7 states: "Procedures and fillable forms will be verified current at the beginning of each shift. Procedure revisions will be verified against the current revision of the procedure posted in the Controlled Documents folder on the CCP sftp site."		
9. Condition Adverse to Quality (CAQ): During the audit, it was identified that an obsolete version of an SPM Appointment Letter form (Attachment 7 from Rev. 38 of CCP-QP-002), was utilized to prepare the SME/VEE appointment letter for D. Matheny dated 6-23-15.		
10a. Significant CAQ? (If "Yes", go to block 14b) Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		11. Type of actions required: 11a. Remedial? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> 11b. Investigative? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> 11c. Causal Analysis? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> 11d. Actions to Preclude Recurrence? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
10b. Work Suspension recommended? (If "Yes", go to block 14b) Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		
10c. WAP-related Deficiency? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		
10d. Accelerated corrective action required? (If "Yes", go to block 14b) Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		
12a. Trend Code: DC-06	12b. CAR Initiator:  Printed Name: John Fernandez Date: 4/25/2017	
13a. Response due date: MAY 26-2017 13b. Required corrective action completion date: N/A		
14. Concurrence: a. Quality Assurance Director/Quality Assurance Representative:  Printed Name: MARTIN NAVARRETE Date: 4-27-17 b. CBFO Office of Quality Assurance Director: (If SCAQ, work suspension, or accelerated corrective action; otherwise mark as "N/A") Printed Name: N/A Date:		
15. Acceptance of Proposed Corrective Actions: Printed Name and Title: _____ Date: _____		
16. Acceptance of Corrective Action Completion: Printed Name: _____ Date: _____		
17. Closure: Printed Name: _____ Date: _____		

INSTRUCTIONS FOR PROVIDING A CORRECTIVE ACTION PLAN

WASTE ISOLATION PILOT PLANT
U.S. DEPARTMENT OF ENERGY
Carlsbad Field Office

INSTRUCTIONS FOR PROVIDING A CORRECTIVE ACTION PLAN

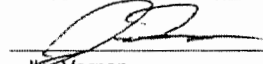

You are requested to provide a corrective action plan (CAP) in response to this corrective action report (CAR) by the completion date identified in block 13b of the CAR. If this date cannot be met, provide a written request for extension to the Quality Assurance Representative with courtesy copy to the Office of Quality Assurance Director. This request must include justification for the delay and must be provided seven calendar days prior to the response due date (CAR block 13a).

The CAP shall address the corrective actions indicated in CAR block 11. As appropriate, develop the plan in accordance with the following sequence and format:

In order to develop the CAP, perform an investigative action to determine the extent and impact of the deficiency and to identify the causal factors. Next, determine the actions required to correct the adverse condition. The plan shall include the following information, as appropriate to CAR block 11.

1. Corrective action response for CAR # 17-031
 - A. **Remedial Actions**-Describe actions required or taken to correct the specific conditions noted and any similar conditions identified during discovery.
 - B. **Investigative Actions**-Describe the investigative actions performed to determine the extent and impact of the deficiency and the results of the investigation. This will include a determination of the acceptability of any data generated prior to resolution of the deficiency.
 - C. **Causal Analysis**-Identify the causal factor(s) of the CAR condition. Refer to Step 5.3.2 if the CAR was issued to CBFO or Step 5.3.3 if the CAR was issued to a participant organization.
 - D. **Actions to Preclude Recurrence**-Identify the corrective actions required to address the causal factors of the condition in order to preclude recurrence.
- NOTE:** Schedule for completion of corrective actions is always required.
2. For each action above, identify the anticipated (or actual, if complete) completion date.
3. The response must identify the individual having the overall responsibility for completion of the corrective actions.

CBFO CORRECTIVE ACTION REPORT

1. CAR No.: 17-032		2. Activity Report No.: A-17-21		3. Page 1 of 2	
4. Controlling document: CCP-QP-008, Rev. 26		5. Responsible CBFO Manager: N/A			
6. Responsible organization: NWP/CCP		7. CAQ discussed with: R. Martin/C. Simmons			
8. Requirement: See CAR Continuation Sheet.					
9. Condition Adverse to Quality (CAQ): See CAR Continuation Sheet.					
10a. Significant CAQ? (If "Yes", go to block 14b)		Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		11. Type of actions required:	
10b. Work Suspension recommended? (If "Yes", go to block 14b)		Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		11a. Remedial? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	
10c. WAP-related Deficiency?		Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		11b. Investigative? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	
10d. Accelerated corrective action required? (If "Yes", go to block 14b)		Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		11c. Causal Analysis? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
				11d. Actions to Preclude Recurrence? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	
12a. Trend Code: <i>RM-06</i>		12b. CAR Initiator:  Printed Name: <u>Jim Vernon</u>		<u>4-27-17</u> Date	
13a. Response due date: <u>MAY 26, 2017</u>					
13b. Required corrective action completion date: <u>N/A</u>					
14. Concurrence:					
a. Quality Assurance Director/Quality Assurance Representative:		 Printed Name: <u>MARTIN NAVARRETE</u>		<u>4-27-17</u> Date	
b. CBFO Office of Quality Assurance Director: (if SCAQ, work suspension, or accelerated corrective action; otherwise mark as "N/A")		<u>N/A</u> Printed Name: _____		Date	
15. Acceptance of Proposed Corrective Actions:					
Printed Name and Title: _____		Date			
16. Acceptance of Corrective Action Completion:					
Printed Name: _____		Date			
17. Closure:					
Printed Name: _____		Date			

CAR CONTINUATION SHEET

1. CAR No: 17-032	2. Activity No: A-17-21	3. Page 2 of 2
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8. Requirement:

CCP-QP-008, Rev. 26, *CCP Records Management*, section 4.7.1 Note states: "Editorial changes may be made to records without the same level of review or approval as the original record. Editorial changes include ONLY the following:

- Correcting grammar or spelling (the meaning has not changed);
- Renumbering sections, attachments, or pagination, providing the original intent of the record has not been altered
- Clarification statements that do not affect the technical or quality content of the record
- Sections without an "N/A" entry, for which "N/A" is the appropriate notation for the record."

9. Condition Adverse to Quality (CAQ):

A data affecting, non-editorial change (i.e., incorrect calibration due date recorded on batch data report [BDR]) was made to BDR ORRHDT16029 without the same level of review or approval as the original record.

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U.S. DEPARTMENT OF ENERGY
Carlsbad Field Office****INSTRUCTIONS FOR PROVIDING A CORRECTIVE ACTION PLAN**

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In order to develop the CAP, perform an investigative action to determine the extent and impact of the deficiency and to identify the causal factors. Next, determine the actions required to correct the adverse condition. The plan shall include the following information, as appropriate to CAR block 11.

1. Corrective action response for CAR # 17-032
 - A. **Remedial Actions**-Describe actions required or taken to correct the specific conditions noted and any similar conditions identified during discovery.
 - B. **Investigative Actions**-Describe the investigative actions performed to determine the extent and impact of the deficiency and the results of the investigation. This will include a determination of the acceptability of any data generated prior to resolution of the deficiency.
 - C. **Causal Analysis**-Identify the causal factor(s) of the CAR condition. Refer to Step 5.3.2 if the CAR was issued to CBFO or Step 5.3.3 if the CAR was issued to a participant organization.
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