DATE: April 20, 1999

REPLY TO ATTN OF: CAO:QA:MAI:99-0803:UFC 2300.00

SUBJECT: Issuance of Corrective Action Reports (CARs) 99-041 and 99-042 from CAO Audit A-99-09

TO: Joe Legare, RFFO

The Carlsbad Area Office (CAO) performed Audit A-99-09 on April 12-15, 1999, of Rocky Flats Environmental Technology Site’s (RFETS) TRU waste characterization for Salt Residue Stabilization and LECO Crucible Repackaging activities. The audit team identified two (2) conditions adverse to quality, which have been identified on Corrective Action Reports (CARs) 99-041 and 99-042.

Please provide the requested Corrective Action Plans to this office prior to the response due date identified in CAR block 14. The corrective action plan should include remedial and investigative actions taken, and should identify probable root cause to support actions taken to preclude recurrence of the deficiencies. If you have any questions or comments, please contact me at (505) 234-7484 or Beth Bennington at (505) 234-7482.

Marc A. Italiano
Quality Assurance Manager

Attachments
Joe Legare, RFFO

cc w/attachments:
CAO QA File
L. Chism, CAO
B. Bennington, CAO
S. Vega, CAO
B. Stroud, CAO
M. Eagle, EPA
S. Monroe, EPA
S. Zappe, NMED
B. Walker, EEG
D. Winters, DNFSB
M. Castagneri, RFETS
J. O'Leary, RFETS
T. Bowden, CTAC
C. Riggs, CTAC
J. R. Stroble, WID
**CORRECTIVE ACTION REPORT**

1. **CAR No.**: 99-041
   2. **Activity Report No.**: A-99-09
   3. **Page 1 of 1**

4. **Controlling Document**: L-4028-1, *Sample administration for the Radiological laboratory*

5. **CAO Assessment Team Leader**: C. L. Riggs

6. **Responsible Organization**: DOE RFFO

7. **CAQ Was Discussed With**: J. Reynolds, Y. Mazza, and D. Goade

8. **Requirement that was violated**: Section 3.1.5.3, bullets 1, 2, 3, 7, and 8; Section 3.1.5.4; and Section 3.1.5.5. The Chain-of-Custody (COC) form is to be signed by the person relinquishing the sample and by the person receiving the sample. The condition of the sample and the agreement of COC and Samples is to be shown on the COC.

9. **Condition Adverse to Quality**: The person receiving the sample has not signed the COC indicating unbroken Chain-of-Custody for the sample. The condition of the sample is not noted, nor is there any indication that sample label and COCs are in agreement. The Tamper Indicating Device or glovebox designation is being used in lieu of a signature.

10. **Suggested Actions (Optional)**: Corrective action should include a review of the COC process and of impacted COCs to determine if any samples have been compromised by not following the procedure as written. If the procedure is revised, the corrective action plan should also discuss why the revision is a process improvement.

11. **Significant Condition Adverse to Quality (Yes or No)**: YES NO X

12. **Types of Actions**: Remedial: X Investigative: X Root Cause: X Actions to Preclude Recurrence: X

13. **CAR Initiator**: William J. Verret
    **Date**: April 15, 1999

14. **Response Due Date**: May 7, 1999
    **Corrective Action Plan Required**: YES

15. **Trend Cause Code**: __________

16. **Concurrence**: __________
    **Assessment Team Leader**: __________
    **Date**: __________

17. **Corrective Actions Proposed by the Responsible Organization (for SCQA only)**: Use CAR Continuation Sheet

18. **Acceptance of Proposed Corrective Actions (for SCAQ only)**: __________
    **Assessment Team Leader**: __________
    **Quality Assurance Manager**: __________
    **Date**: __________

19. **Verification of Corrective Action Completion**: __________

20. **Verified By**: __________
    **Name**: __________
    **Date**: __________

21. **Closure**: __________
    **Assessment Team Leader**: __________
    **Date**: __________
### Corrective Action Report

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<td>6. Responsible Organization: DOE RFFO</td>
<td>7. CAQ Was Discussed With: Jerry O'Leary</td>
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| 8. Requirement that was violated: QAPD Section 1.2, Personnel Qualification and Training states, "Personnel shall be trained and qualified to ensure they are capable of performing their assigned tasks and to ensure that job proficiency is maintained."

9. Condition Adverse to Quality: The Quality Assurance Officer performing the Technical Supervisor's Review of Calorimetric Assay Data Packages is required to verify that Data are technically reasonable based on Knowledge of Measurement Technique. For Testing Batch #99AR0215 in Package # CALG-OP-00270, the person performing the Review is not qualified to determine the Technical Reasonableness of the Data based upon lack of significant knowledge of the measuring technique.

10. Suggested Actions (Optional):

11. Significant Condition Adverse to Quality (Yes or No)?: NO X


13. CAR Initiator: Steve Hans, Vann Bynum Date: April 14, 1999

14. Response Due Date: May 7, 1999 Corrective Action Plan Required: YES

15. Trend Cause Code:  

16. Concurrence:  

17. Corrective Actions Proposed by the Responsible Organization (for SCQA only): Use CAR Continuation Sheet

18. Acceptance of Proposed Corrective Actions (for SCAQ only):

19. Verification of Corrective Action Completion:

20. Verified By: 

21. Closure: 

Assessment Team Leader Date