

Listing of Selected CARs (Grouped by Responsible Organization)

CAR Number:	Activity Report Number:	Date Initiated: Initiated By:	Original Response Due Date: Received Date: Accepted Date:	Revised Response Due Date: Received Date: Accepted Date:	Required Completion Date:	Expected Completion Date: Revised Completion Date:	Date Closed: By:
04-011	A-04-11	1/13/2004 N. Frank	2/13/2004 2/13/2004 3/4/2004	4/5/2004 3/25/2004 4/7/2004		5/15/2004	6/3/2004 M.P. Navarrete for A.L. Holland

Trend Code: 6.1 Inadequate administrative control

Site: (LC) Los Alamos National Laboratory / Carlsbad

Type of Corrective Action Required: Remedial, Investigative, Root Cause, and Actions to Preclude Recurrence

Controlling Document: CBFO QAPD

Description of Adverse Condition:

A. CP-PROC-013-001-090402

- It is not clear from procedures paragraph 7.2 how access to records is controlled (QAPD 1.5.6.1J)
- It is not clear how QAPD requirement 1.5.6.1K concerning replacement, restoration, or substitution of lost or damage records is controlled.
- Procedure paragraph 7.3 needs to specify that the dual location shall "eliminate the chance of exposure to simultaneous hazard". See CBFO QAPD 1.5.6.1H.
- It is not clear how disposition is carried out. How are records transferred to the sponsor? How are records disposed of? Does the Laboratory Manager consider the requirements of the QAPD 1.5.6.1L when making determination?

B. CP-PROC-010-000-071002

- QAPD requirement 5.2.C7 for "the potential sources of uncertainty and error in test plans, procedures, and parameters that must be controlled and measured to ensure that tests are valid" is not clearly addressed by the procedure.
- QAPD requirement 5.2D for an "independent" qualified individual to periodically review the scientific notebooks is not clearly addressed by the procedure.

C. CP-PROC-002-003-052101

- This procedure does not include the requirement for an assessment plan. There was no audit plan associated with the LANL-C assessment performed to assess the implementation and effectiveness of the Quality Assurance Program.

Corrective Action Required (if specified on CAR form):

(Optional) None

Corrective Action Proposed by Site:

Revised CAP: See CAR Continuation Sheets for CAR 04-011 and 04-012 attached to LANL/C letter dated 3/25/04 in File.

Original CAP: See CAR Continuation Sheet attached to LANL/C letter dated 2/12/04 in File.

Comments:

1/23/04, CAR ISSUANCE: CBFO letter (re: CARs 04-011 through 04-015) dated 1/23/04 from D. Miehl for L. Chism to N. Elkins transmits notification of CAR issuance; CAR indicates that a CAP is required by 2/13/04. Note: no CAP instructions attached and letter does not address submittal of a schedule for completion

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(CBFO:QA:MLC:GS:04-0017:UFC 2300.00).

1/26/04, CAP INSTRUCTIONS: E-mail dated 2/26/04 from T. Putnam to M. Franchuk, LANL, transmits CAP instructions and CAR Continuation Sheet; e-mail advises that response is due by date shown in block 14 of the CAR and requests that response be submitted on CAR Continuation Sheet.

2/3/04, ADVANCE NOTIFICATION: CBFO letter (re: CARs 04-011 through 04-015) dated 2/3/04 from L. Chism to N. Elkins transmits advance notification re: 2/13/04 CAP submittal due date; letter provides the option for submittal of an extension request (CBFO:QA:MLC:GS:04-0040).

2/12/04, CAP SUBMITTAL: LANL/C letter (re: CARs 04-011 through 04-015) dated 2/12/04 from N. Elkins to L. Chism transmits CAP; 04-011 CAP indicates an expected completion date of 3/15/04 and Tim Burns as the person with overall responsibility. Received at CBFO on 2/13/04, Unique #0400736.

3/4/04, CAP REJECTION: CBFO letter (re: CARs 04-011 through 04-015) dated 3/4/04 from L. Chism to N. Elkins transmits CAP evaluation and notification of CAP rejection; letter requests revised CAP by 4/5/04 (CBFO:QA:MLC:GS:04-0062:UFC 2300.00).

3/25/04, REVISED CAP SUBMITTAL: LANL/CO letter (re: CARs 04-011 through 04-015) dated 3/25/04 from N. Elkins to L. Chism transmits revised CAP; CAR 04-011 revised CAP references CAR 04-012 to indicate an expected completion date of 5/15/04 and Tim Burns as the person with overall responsibility. Received at CBFO on 3/25/04, Unique #0401603. NOTE TO RECORDS COORDINATOR: DUE TO THE INTERCONNECTEDNESS OF THESE REVISED CAPS, A COPY OF THE ENTIRE SUBMITTAL, PARTICULARLY THE REVISED CAP FOR CAR 04-012, SHOULD BE MAINTAINED IN THIS FILE UPON RIDs.

4/7/04, REVISED CAP APPROVAL: CBFO letter (re: CARs 04-011 through 04-015) dated 4/7/03 from L. Chism to N. Elkins transmits CAP evaluation and notification of CAP approval (CBFO: QA:MLC:GS:04-0084: UFC 2300.00).

4/28/04, ADVANCE NOTIFICATION: CBFO letter (re: CARs 04-011 through 04-015) dated 4/28/04 from L. Chism to N. Elkins transmits advance notification re: 5/15/04 corrective action completion due date (CBFO:QA:MLC:GS:04-0030:UFC 2300.00).

5/14/04, CLOSURE NOTIFICATION: LANL letter (re: CARs 04-011 through 04-015) dated 5/14/04 from N. Elkins to L. Chism transmits notification of corrective action completion; letter advises that the objective evidence is located at the CEMRC facility and at the LANL-CO Record Center, and requests that CBFO coordinate their verification visit with Tim Burns (tburns@lanl.gov, cell phone #706-0219). Closure notification provided to CTAC ATL T. Putnam by A. Pangle on 5/17/04. Received at CBFO on 5/14/04, Unique #0402605.

6/2/04, CAR CLOSURE: CBFO letter (re: CARs 04-011 through 04-015) dated 6/2/04 from L. Chism to N. Elkins transmits verification of corrective action completion and notification of CAR closure; letter indicates that referenced letters provided closure documentation and that CBFO performed verification on 5/19/04 to ensure that corrective actions had been completed (CBFO:QA:MLC:GS:04-1524:UFC 2300.00). Note: Reference 1 contains wrong date; reference to letter as dated 2/12/04 should be indicated as letter dated 3/25/04. Per L. Chism to A. Pangle on 6/7/04, retransmittal of closure letter to correct date is not necessary; additionally, the internal LANL/CO Audit Report referred to in Reference 2 does not need to be included in File.

6/3/04, CAR Form Line 20 signed by M.P. Navarrete for A.L. Holland on 6/3/04.

6/3/04, MEMO TO FILE: Memo (re: CARs 04-011 through 04-015) dated 6/3/04 from L. Chism to File clarifies Reference No. 1 included in the CBFO letter dated 6/2/04 (CBFO:QA:MLC:GS:04-1524:UFC 2300.00) from L. Chism to N. Elkins; Memo provides a correct listing of documentation included in each CAR File (04-011 through 04-015) and specifies that this Memo will also be included in each respective File.

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6/7/04, DATABASE NOTE: Database printout of the information concerning this CAR included in CAR File to facilitate review and for RIDs purposes. Only documentation pertaining to this specific CAR will be maintained in File upon RIDs.

<u>04-012</u>	A-04-11	1/14/2004 Thomas Putnam	2/13/2004 2/13/2004 3/4/2004	4/5/2004 3/25/2004 4/7/2004		5/15/2004	6/3/2004 M.P. Navarrete for A.L. Holland
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Trend Code: 6.1 Inadequate administrative control

Site: (LC) Los Alamos National Laboratory / Carlsbad

Type of Corrective Action Required: Remedial, Investigative, Root Cause, and Actions to Preclude Recurrence

Controlling Document: CBFO QAPD

Description of Adverse Condition:

LANL Management has not developed and implemented an effective Quality Assurance program. LANL is the prime contractor; however, the Quality Assurance program and implementation documents rest within a sub tier organization. Effective implementation has suffered as evidenced by the number of adequacy issues and the use of implementing quality instructions that are not controlled per the audited/documented Quality Assurance program. Evidenced by the following:

- (1) Complete documentation exists for LANL Management involvement in the upper tier requirements documents (i.e., QAP and Test Plan); however, that same level of documentation does not exist in the CEMRC implementing procedures (i.e., there is no LANL documentation review required by document control procedure nor is there any evidence that LANL-CO has any involvement with these CEMRC implementing procedures);
- (2) LANL has not requested that CEMRC issue any specific implementing procedures necessary for LANL to perform Actinide Chemistry work; however, LANL has created Desktop Instruction and Task Plan Instruction that are not part of the implementing CEMRC Quality Assurance program. LANL-CO is using these Desktop Instructions to perform specific work. LANL-CO has also placed QAPD requirements to be implemented in the Desktop Instructions (i.e., M&TE control) and not in the CEMRC QA implementing procedures;
- (3) LANL review of the annual assessment of implementation and effectiveness of the QAP; however, no documentation is required of LANL to approve the specific nonconformance solutions as required by implementing procedure;
- (4) This is an on-going issue; in the last LANL-CO audit A-03-12 the following was identified: implementation of the QA Program for the TWBIR program implementation, performed by LANL-CO in accordance with SNL procedures, was indeterminate. One corrective action report (CAR), W-03-03, was issued by LANL prior to the audit to document the failure of LANL to follow the SNL QA program requirements in performing the TWBIR activities. This CAR was closed in relationship to SNL.

Corrective Action Required (if specified on CAR form):

(Optional) None

Corrective Action Proposed by Site:

Revised CAP: See CAR Continuation Sheet attached to LANL/C letter dated 3/25/04 in File.
Original CAP: See CAR Continuation Sheet attached to LANL/C letter dated 2/12/04 in File.

Comments:

CAR Number:	Activity Report Number:	Date Initiated: Initiated By:	Original Response Due Date: Received Date: Accepted Date:	Revised Response Due Date: Received Date: Accepted Date:	Required Completion Date:	Expected Completion Date: Revised Completion Date:	Date Closed: By:
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1/23/04, CAR ISSUANCE: CBFO letter (re: CARs 04-011 through 04-015) dated 1/23/04 from D. Miehl for L. Chism to N. Elkins transmits notification of CAR issuance; CAR indicates that a CAP is required by 2/13/04. Note: no CAP instructions attached and letter does not address submittal of a schedule for completion (CBFO:QA:MLC:GS:04-0017:UFC 2300.00).

1/26/04, CAP INSTRUCTIONS: E-mail dated 2/26/04 from T. Putnam to M. Franchuk, LANL, transmits CAP instructions and CAR Continuation Sheet; e-mail advises that response is due by date shown in block 14 of the CAR and requests that response be submitted on CAR Continuation Sheet.

2/3/04, ADVANCE NOTIFICATION: CBFO letter (re: CARs 04-011 through 04-015) dated 2/3/04 from L. Chism to N. Elkins transmits advance notification re: 2/13/04 CAP submittal due date; letter provides the option for submittal of an extension request (CBFO:QA:MLC:GS:04-0040).

2/12/04, CAP SUBMITTAL: LANL/C letter (re: CARs 04-011 through 04-015) dated 2/12/04 from N. Elkins to L. Chism transmits CAP; 04-012 CAP indicates an expected completion date of 3/31/04 and Tim Burns as the person with overall responsibility. Received at CBFO on 2/13/04, Unique #0400736.

3/4/04, CAP REJECTION: CBFO letter (re: CARs 04-011 through 04-015) dated 3/4/04 from L. Chism to N. Elkins transmits CAP evaluation and notification of CAP rejection; letter requests revised CAP by 4/5/04 (CBFO:QA:MLC:GS:04-0062:UFC 2300.00).

3/25/04, REVISED CAP SUBMITTAL: LANL/CO letter (re: CARs 04-011 through 04-015) dated 3/25/04 from N. Elkins to L. Chism transmits revised CAP; CAR 04-012 revised CAP indicates an expected completion date of 5/15/04 and Tim Burns as the person with overall responsibility. Received at CBFO on 3/25/04, Unique #0401603. NOTE TO RECORDS COORDINATOR: DUE TO THE INTERCONNECTEDNESS OF THESE REVISED CAPS, A COPY OF THE ENTIRE SUBMITTAL SHOULD BE MAINTAINED IN THIS FILE UPON RIDs.

4/7/04, REVISED CAP APPROVAL: CBFO letter (re: CARs 04-011 through 04-015) dated 4/7/03 from L. Chism to N. Elkins transmits CAP evaluation and notification of CAP approval (CBFO:QA:MLC:GS:04-0084:UFC 2300.00).

4/28/04, ADVANCE NOTIFICATION: CBFO letter (re: CARs 04-011 through 04-015) dated 4/28/04 from L. Chism to N. Elkins transmits advance notification re: 5/15/04 corrective action completion due date (CBFO:QA:MLC:GS:04-0030:UFC 2300.00).

5/14/04, CLOSURE NOTIFICATION: LANL letter (re: CARs 04-011 through 04-015) dated 5/14/04 from N. Elkins to L. Chism transmits notification of corrective action completion; letter advises that the objective evidence is located at the CEMRC facility and at the LANL-CO Record Center, and requests that CBFO coordinate their verification visit with Tim Burns (tburns@lanl.gov, cell phone #706-0219). Closure notification provided to CTAC ATL T. Putnam by A. Pangle on 5/17/04. Received at CBFO on 5/14/04, Unique #0402605.

6/2/04, CAR CLOSURE: CBFO letter (re: CARs 04-011 through 04-015) dated 6/2/04 from L. Chism to N. Elkins transmits verification of corrective action completion and notification of CAR closure; letter indicates that referenced letters provided closure documentation and that CBFO performed verification on 5/19/04 to ensure that corrective actions had been completed (CBFO:QA:MLC:GS:04-1524:UFC 2300.00). Note: Reference 1 contains wrong date; reference to letter as dated 2/12/04 should be indicated as letter dated 3/25/04. Per L. Chism to A. Pangle on 6/7/04, retransmittal of closure letter to correct date is not necessary; additionally, the Audit Report referred to in Reference 2 does not need to be included in File.

6/3/04, CAR Form Line 20 signed by M.P. Navarrete for A.L. Holland on 6/3/04.

6/3/04, MEMO TO FILE: Memo (re: CARs 04-011 through 04-015) dated 6/3/04 from L. Chism to File clarifies Reference No. 1 included in the CBFO letter dated

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6/2/04 (CBFO:QA:MLC:GS:04-1524:UFC 2300.00) from L. Chism to N. Elkins; Memo provides a correct listing of documentation included in each CAR File (04-011 through 04-015) and specifies that this Memo will also be included in each respective File.

6/7/04, DATABASE NOTE: Database printout of the information concerning this CAR included in CAR File to facilitate review and for RIDs purposes. Only documentation pertaining to this specific CAR will be maintained in File upon RIDs.

04-013	A-04-11	1/13/2004	2/13/2004	4/5/2004	5/15/2004	6/3/2004	
		N. Frank	2/13/2004	3/25/2004			M.P. Navarrete for A.L. Holland
			3/4/2004	4/7/2004			

Trend Code: 6.1 Inadequate administrative control

Site: (LC) Los Alamos National Laboratory / Carlsbad

Type of Corrective Action Required: Remedial, Investigative, Root Cause, and Actions to Preclude Recurrence

Controlling Document: Various - See Block 8 details

Description of Adverse Condition:

- Requirements for Records Packages and Records Disposition are not adequately addressed.
- Records are not designated as lifetime, post-closure, or non-permanent. The CEMRC QAP paragraph 5.2 is not correct for LANL-C work.
- Records receive a unique number when first entered into the record file. Subsequent additions are simply clipped to existing records. There is no documented system to add, revise, change, replace, or substitute QA records.
- Subdivision by "Required Records" versus "Incidental Records" is not done. A separate, undefined system of "Living", "Record", or "AC Controlled" is used.
- Scientific Notebooks are not being entered into QA Records as required by procedures.
- Scientific Notebooks (SNs) are sent to records to be copied approximately every month. Subsequent pages do not receive a unique number. Instead they are clipped to the previous set of pages and the same number is used. In addition, the technical reviewer and QA reviewer sometimes require previously-copied pages be changed. These changed pages are not copied and do not make it into QA records.

Corrective Action Required (if specified on CAR form):

(Optional) None

Corrective Action Proposed by Site:

Revised CAP: See CAR Continuation Sheets for CAR 04-013 and 04-012 attached to LANL/C letter dated 3/25/04 in File.

Original CAP: See CAR Continuation Sheet attached to LANL/C letter dated 2/12/04 in File.

Comments:

1/23/04, CAR ISSUANCE: CBFO letter (re: CARs 04-011 through 04-015) dated 1/23/04 from D. Miehl for L. Chism to N. Elkins transmits notification of CAR issuance; CAR indicates that a CAP is required by 2/13/04. Note: no CAP instructions attached and letter does not address submittal of a schedule for completion (CBFO:QA:MLC:GS:04-0017:UFC 2300.00).

1/26/04, CAP INSTRUCTIONS: E-mail dated 2/26/04 from T. Putnam to M. Franchuk, LANL, transmits CAP instructions and CAR Continuation Sheet; e-mail

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2/12/04, CAP SUBMITTAL: LANL/C letter (re: CARs 04-011 through 04-015) dated 2/12/04 from N. Elkins to L. Chism transmits CAP; 04-013 CAP indicates an expected completion date of 3/8/04 and Tim Burns as the person with overall responsibility. Received at CBFO on 2/13/04, Unique #0400736.

3/4/04, CAP REJECTION: CBFO letter (re: CARs 04-011 through 04-015) dated 3/4/04 from L. Chism to N. Elkins transmits CAP evaluation and notification of CAP rejection; letter requests revised CAP by 4/5/04 (CBFO:QA:MLC:GS:04-0062:UFC 2300.00).

3/25/04, REVISED CAP SUBMITTAL: LANL/CO letter (re: CARs 04-011 through 04-015) dated 3/25/04 from N. Elkins to L. Chism transmits revised CAP; CAR 04-013 revised CAP references CAR 04-012 to indicate an expected completion date of 5/15/04 and Tim Burns as the person with overall responsibility. Received at CBFO on 3/25/04, Unique #0401603. NOTE TO RECORDS COORDINATOR: DUE TO THE INTERCONNECTEDNESS OF THESE REVISED CAPS, A COPY OF THE ENTIRE SUBMITTAL, PARTICULARLY THE REVISED CAP FOR CAR 04-012, SHOULD BE MAINTAINED IN THIS FILE UPON RIDs.

4/7/04, REVISED CAP APPROVAL: CBFO letter (re: CARs 04-011 through 04-015) dated 4/7/03 from L. Chism to N. Elkins transmits CAP evaluation and notification of CAP approval (CBFO: QA:MLC:GS:04-0084: UFC 2300.00).

4/28/04, ADVANCE NOTIFICATION: CBFO letter (re: CARs 04-011 through 04-015) dated 4/28/04 from L. Chism to N. Elkins transmits advance notification re: 5/15/04 corrective action completion due date (CBFO:QA:MLC:GS:04-0030:UFC 2300.00).

5/14/04, CLOSURE NOTIFICATION: LANL letter (re: CARs 04-011 through 04-015) dated 5/14/04 from N. Elkins to L. Chism transmits notification of corrective action completion; letter advises that the objective evidence is located at the CEMRC facility and at the LANL-CO Record Center, and requests that CBFO coordinate their verification visit with Tim Burns (tburns@lanl.gov, cell phone #706-0219). Closure notification provided to CTAC ATL T. Putnam by A. Pangle on 5/17/04. Received at CBFO on 5/14/04, Unique #0402605.

6/2/04, CAR CLOSURE: CBFO letter (re: CARs 04-011 through 04-015) dated 6/2/04 from L. Chism to N. Elkins transmits verification of corrective action completion and notification of CAR closure; letter indicates that referenced letters provided closure documentation and that CBFO performed verification on 5/19/04 to ensure that corrective actions had been completed (CBFO:QA:MLC:GS:04-1524:UFC 2300.00). Note: Reference 1 contains wrong date; reference to letter as dated 2/12/04 should be indicated as letter dated 3/25/04. Per L. Chism to A. Pangle on 6/7/04, retransmittal of closure letter to correct date is not necessary; additionally, the Audit Report referred to in Reference 2 does not need to be included in File.

6/3/04, CAR Form Line 20 signed by M.P. Navarrete for A.L. Holland on 6/3/04.

6/3/04, MEMO TO FILE: Memo (re: CARs 04-011 through 04-015) dated 6/3/04 from L. Chism to File clarifies Reference No. 1 included in the CBFO letter dated 6/2/04 (CBFO:QA:MLC:GS:04-1524:UFC 2300.00) from L. Chism to N. Elkins; Memo provides a correct listing of documentation included in each CAR File (04-011 through 04-015) and specifies that this Memo will also be included in each respective File.

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Trend Code: 6.1 Inadequate administrative control

Site: (LC) Los Alamos National Laboratory / Carlsbad

Type of Corrective Action Required: Remedial, Investigative, Root Cause, and Actions to Preclude Recurrence

Controlling Document: CBFO QAPD

Description of Adverse Condition:

Management Assessments have not been adequately implemented. There has been only one attempt at performing management assessments and there is no guidance document for that effort. There is no controlling procedure to implement the requirement.

Corrective Action Required (if specified on CAR form):

(Optional) None

Corrective Action Proposed by Site:

Revised CAP: See CAR Continuation Sheets for CAR 04-014 and 04-012 attached to LANL/C letter dated 3/25/04 in File.

Original CAP: See CAR Continuation Sheet attached to LANL/C letter dated 2/12/04 in File.

Comments:

1/23/04, CAR ISSUANCE: CBFO letter (re: CARs 04-011 through 04-015) dated 1/23/04 from D. Miehl for L. Chism to N. Elkins transmits notification of CAR issuance; CAR indicates that a CAP is required by 2/13/04. Note: no CAP instructions attached and letter does not address submittal of a schedule for completion (CBFO:QA:MLC:GS:04-0017:UFC 2300.00).

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04-014 revised CAP references CAR 04-012 to indicate an expected completion date of 5/15/04 and Tim Burns as the person with overall responsibility. Received at CBFO on 3/25/04, Unique #0401603. NOTE TO RECORDS COORDINATOR: DUE TO THE INTERCONNECTEDNESS OF THESE REVISED CAPS, A COPY OF THE ENTIRE SUBMITTAL, PARTICULARLY THE REVISED CAP FOR CAR 04-012, SHOULD BE MAINTAINED IN THIS FILE UPON RIDs.

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6/3/04, CAR Form Line 20 signed by M.P. Navarrete for A.L. Holland on 6/3/04.

6/3/04, MEMO TO FILE: Memo (re: CARs 04-011 through 04-015) dated 6/3/04 from L. Chism to File clarifies Reference No. 1 included in the CBFO letter dated 6/2/04 (CBFO:QA:MLC:GS:04-1524:UFC 2300.00) from L. Chism to N. Elkins; Memo provides a correct listing of documentation included in each CAR File (04-011 through 04-015) and specifies that this Memo will also be included in each respective File.

6/7/04, DATABASE NOTE: Database printout of the information concerning this CAR included in CAR File to facilitate review and for RIDs purposes. Only documentation pertaining to this specific CAR will be maintained in File upon RIDs.

<u>04-015</u>	A-04-11	1/14/2004	2/13/2004	4/5/2004	5/15/2004	6/3/2004
		P. Martinez	2/13/2004	3/25/2004		M.P. Navarrete for A.L. Holland
			3/4/2004	4/7/2004		

Trend Code: 6.1 Inadequate administrative control

Site: (LC) Los Alamos National Laboratory / Carlsbad

Type of Corrective Action Required: Remedial, Investigative, Root Cause, and Actions to Preclude Recurrence

Controlling Document: CBFO QAPD

CAR Number:	Activity Report Number:	Date Initiated: Initiated By:	Original Response Due Date: Received Date: Accepted Date:	Revised Response Due Date: Received Date: Accepted Date:	Required Completion Date:	Expected Completion Date: Revised Completion Date:	Date Closed: By:
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Description of Adverse Condition:

Chain of Custody Forms are not being used to document and control sample chain-of-custody. Sample chain-of-custody is currently maintained in scientific notebooks and not on a chain-of-custody form. The CEMRC implementing procedure allows this; however, the QAPD does not.

Corrective Action Required (if specified on CAR form):

(Optional) None

Corrective Action Proposed by Site:

Revised CAP: See CAR Continuation Sheets for CAR 04-015 and 04-012 attached to LANL/C letter dated 3/25/04 in File.
Original CAP: See CAR Continuation Sheet attached to LANL/C letter dated 2/12/04 in File.

Comments:

1/23/04, CAR ISSUANCE: CBFO letter (re: CARs 04-011 through 04-015) dated 1/23/04 from D. Miehl for L. Chism to N. Elkins transmits notification of CAR issuance; CAR indicates that a CAP is required by 2/14/04. Note: no CAP instructions attached and letter does not address submittal of a schedule for completion (CBFO:QA:MLC:GS:04-0017:UFC 2300.00).

1/26/04, CAP INSTRUCTIONS: E-mail dated 2/26/04 from T. Putnam to M. Franchuk, LANL, transmits CAP instructions and CAR Continuation Sheet; e-mail advises that response is due by date shown in block 14 of the CAR and requests that response be submitted on CAR Continuation Sheet.

2/3/04, ADVANCE NOTIFICATION: CBFO letter (re: CARs 04-011 through 04-015) dated 2/3/04 from L. Chism to N. Elkins transmits advance notification re: 2/13/04 CAP submittal due date; letter provides the option for submittal of an extension request (CBFO:QA:MLC:GS:04-0040).

2/12/04, CAP SUBMITTAL: LANL/C letter (re: CARs 04-011 through 04-015) dated 2/12/04 from N. Elkins to L. Chism transmits CAP; 04-015 CAP indicates an expected completion date of 3/8/04 and Tim Burns as the person with overall responsibility. Received at CBFO on 2/13/04, Unique #0400736.

3/4/04, CAP REJECTION: CBFO letter (re: CARs 04-011 through 04-015) dated 3/4/04 from L. Chism to N. Elkins transmits CAP evaluation and notification of CAP rejection; letter requests revised CAP by 4/5/04 (CBFO:QA:MLC:GS:04-0062:UFC 2300.00).

3/25/04, REVISED CAP SUBMITTAL: LANL/CO letter (re: CARs 04-011 through 04-015) dated 3/25/04 from N. Elkins to L. Chism transmits revised CAP; CAR 04-015 revised CAP references CAR 04-012 to indicate an expected completion date of 5/15/04 and Tim Burns as the person with overall responsibility. Received at CBFO on 3/25/04, Unique #0401603. NOTE TO RECORDS COORDINATOR: DUE TO THE INTERCONNECTEDNESS OF THESE REVISED CAPS, A COPY OF THE ENTIRE SUBMITTAL, PARTICULARLY THE REVISED CAP FOR CAR 04-012, SHOULD BE MAINTAINED IN THIS FILE UPON RIDS.

4/7/04, REVISED CAP APPROVAL: CBFO letter (re: CARs 04-011 through 04-015) dated 4/7/03 from L. Chism to N. Elkins transmits CAP evaluation and notification of CAP approval (CBFO: QA:MLC:GS:04-0084: UFC 2300.00).

4/28/04, ADVANCE NOTIFICATION: CBFO letter (re: CARs 04-011 through 04-015) dated 4/28/04 from L. Chism to N. Elkins transmits advance notification re: 5/15/04 corrective action completion due date (CBFO:QA:MLC:GS:04-0030:UFC 2300.00).

5/14/04, CLOSURE NOTIFICATION: LANL letter (re: CARs 04-011 through 04-015) dated 5/14/04 from N. Elkins to L. Chism transmits notification of corrective

CAR Number:	Activity Report Number:	Date Initiated: Initiated By:	Original Response Due Date: Received Date: Accepted Date:	Revised Response Due Date: Received Date: Accepted Date:	Required Completion Date:	Expected Completion Date: Revised Completion Date:	Date Closed: By:
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action completion; letter advises that the objective evidence is located at the CEMRC facility and at the LANL-CO Record Center, and requests that CBFO coordinate their verification visit with Tim Burns (tburns@lanl.gov, cell phone #706-0219). Closure notification provided to CTAC ATL T. Putnam by A. Pangle on 5/17/04. Received at CBFO on 5/14/04, Unique #0402605.

6/2/04, CAR CLOSURE: CBFO letter (re: CARs 04-011 through 04-015) dated 6/2/04 from L. Chism to N. Elkins transmits verification of corrective action completion and notification of CAR closure; letter indicates that referenced letters provided closure documentation and that CBFO performed verification on 5/19/04 to ensure that corrective actions had been completed (CBFO:QA:MLC:GS:04-1524:UFC 2300.00). Note: Reference 1 contains wrong date; reference to letter as dated 2/12/04 should be indicated as letter dated 3/25/04. Per L. Chism to A. Pangle on 6/7/04, retransmittal of closure letter to correct date is not necessary; additionally, the Audit Report referred to in Reference 2 does not need to be included in File.

6/3/04, CAR Form Line 20 signed by M.P. Navarrete for A.L. Holland on 6/3/04.

6/3/04, MEMO TO FILE: Memo (re: CARs 04-011 through 04-015) dated 6/3/04 from L. Chism to File clarifies Reference No. 1 included in the CBFO letter dated 6/2/04 (CBFO:QA:MLC:GS:04-1524:UFC 2300.00) from L. Chism to N. Elkins; Memo provides a correct listing of documentation included in each CAR File (04-011 through 04-015) and specifies that this Memo will also be included in each respective File.

6/7/04, DATABASE NOTE: Database printout of the information concerning this CAR included in CAR File to facilitate review and for RIDs purposes. Only documentation pertaining to this specific CAR will be maintained in File upon RIDs.