

JAN 10 2002

cc w/encl:

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B. M. Terrell, DOE/YMSCO, Las Vegas, NV

United States Government

Department of Energy

# Memorandum

QA: QA

DATE: **JAN 10 2002**

REPLY TO:

ATTN OF: RW-3 (Ram Murthy/4-5549)

SUBJECT: VERIFICATION OF CORRECTIVE ACTION AND CLOSURE OF DEFICIENCY REPORT (DR) YMSCO-01-D-138 RESULTING FROM THE OFFICE OF QUALITY ASSURANCE (OQA) AUDIT YMSCO-ARC-01-14

TO: YMSCO/DPM (D. G. Horton)

The OQA staff has evaluated the corrective action of DR YMSCO-01-D-138 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 Donald J. Harris at (702) 794-1467.

  
Ram Murthy, Acting Director  
Office of Quality Assurance

OQA:JB-0500

Enclosure:  
DR YMSCO-01-D-138

*Dmss07*

*Wm-11*

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

8.  DEFICIENCY REPORT  
 CORRECTIVE ACTION REPORT  
 NO. YMSCO-01-D-138  
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**DEFICIENCY/CORRECTIVE ACTION REPORT**

1. Controlling Document: AP-2.1Q, Rev. 1, BSCN 1, <i>Indoctrination and Training of Personnel</i>	2. Related Report No.: YMSCO-ARC-01-14
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3. Responsible Organization: Yucca Mountain Site Characterization Office (YMSCO)	4. Discussed With: Linda Quering and Catherine Hampton
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5. Requirement:

5.2.1 Manager:

a) Ensure that indoctrination and training requirements, including those indoctrination and training requirements for ES&H and work subject to the QARD, are documented for each Employee or the Employee's job function. Document training requirements on an IDP (see Attachment 2, Individual Development Plan).

5.4 TRAINING IMPLEMENTATION

5.4.1. Manager

a) Ensure training is provided to Employees with assistance from TO, as necessary.

(Continue on page 2)

6. Description of Condition:

Contrary to the cited requirements:

W. Kazai The IDP indicated Managing Lessons Learned completed 5/31/00. No objective evidence of training on the Training Records Report, Status of Report by Jobs, or Training Attendance Record for class conducted on 5/31/00.

(Continue on page 2)

7. Initiator: <i>Donald J. Harris</i> D. J. Harris Date 8/15/01	9. Does a stop work condition exist? (Not required for a DR) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, Check One: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D
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10. Recommended Actions:  
*NONE.*

11. QA Review: D. J. Harris QAR <i>Donald J. Harris</i> Date 9/19/01	12. Response Due Date: 10 Working Days From Issuance
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13. DOQA Issuance Approval:

Printed Name Ram Murthy Signature *James Blaylock for* Date 9/24/01

22. Corrective Actions Verified: QAR <i>Donald J. Harris</i> Date 1/9/02	23. Closure Approved by: DOQA <i>James Blaylock for</i> Date 1/9/02
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5. Requirement (Continued)

- b) Ensure indoctrination and training for a specific work activity or process subject to the QARD is completed prior to the performance of that work activity or process.

5.4.2 Employee:

- a) Complete indoctrination and training as specified in the IDP.
- b) Document completed indoctrination and training using Attachment 5, Training Attendance Record, or Attachment 6, Computer-Based Training Completion, or similar format or evidence of completed OJT, and ensure a copy is provided to the TO.

The Individual Development Plan (IDP), Section 4, required/mandated "QA" training (only IDP Section subject to QA audit or review).

6. Description of Condition: (Continued)

- G. Fisher      The IDP indicated AP-5.1Q training not completed. AP-17.1Q training indicated as complete on IDP on 11/8/00. No objective evidence of completion of the training on the Training Record Report, or Status Report by Jobs.
- S. Rives        The IDP indicated Supervisory Training completed on 3/01. No objective evidence of completion on the Training Records Report, or Status Report by Jobs.

TYPE RESPONSE:

- Initial
- Complete
- Amended

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QA: *XQA*  
10/10/01

**DEFICIENCY/CORRECTIVE ACTION REPORT (RESPONSE)**

14a. Immediate Actions:

None

Compliance Date: N/A

14. Remedial Actions:

G. Fisher will be directed to complete the identified training assignments.

IDPs for W. Kozai and S. Rives will be revised to remove all non-QA related training assignments from Block 4.

15. Extent of Condition:

Compare all DOE-YMP personnel IDPs against the Status Reports by Jobs (in Trainserve) to determine whether there are any other incomplete training assignments. The results of this comparison will be provided in the complete response. An evaluation will be performed to determine if there was any impact(s) associated with incomplete training assignments. The results of the evaluation will also be provided in the complete response.

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

Incomplete attention to detail while implementing the process steps of AP-2.1Q.

17. Action to Preclude Recurrence:

Assign DOE organizational coordinators to monitor completion of individual training assignments.

Re-train the organizational coordinators to AP-2.1Q

18. Due Date: 11/2/01

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

19. Response by: DONALD G. HORTON

*[Signature]*

Date 10/9/01 Phone 4-1321

20. Evaluation:  Accept  Partially Accept  Reject

21. Concurrence:

GAR *Donald J. Harris* Date 10-18-01

DOQA *James Blyskal* for Date 10/23/01

TYPE RESPONSE:

- Initial
- Complete
- Amended

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QA: *✓ QA*

*DEC 14/3/01*

**DEFICIENCY/CORRECTIVE ACTION REPORT (RESPONSE)**

14a. Immediate Actions:

None

Compliance Date: N/A

14. Remedial Actions:

G. Fisher, W. Kozai, and S. Rives do not perform work subject to QARD requirements, therefore, no remedial action is necessary for these individuals. Employees performing work subject to the QARD will be notified that they have outstanding training requirements that need to be completed.

(See Addendum 1)

15. Extent of Condition:

IDPs for all DOE-YMP personnel were compared against the Status Reports by Jobs (in Trainserve) to determine whether there were any other incomplete training assignments. See attached results.

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

Incomplete attention to detail while implementing the process steps of AP-2.1Q.

17. Action to Preclude Recurrence:

Assign DOE organizational coordinators to monitor completion of individual training assignments.

18. Due Date: 12/21/01

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

19. Response by:

*[Signature]*

Date 12/3/01

Phone 45563

20. Evaluation:  Accept  Partially Accept  Reject

21. Concurrence:

QAR *Donald J. Harris* Date 12-4-01

DOQA *James Blaylock* Date 12/6/01

## TRAINING COMPLETION STATUS

Name	AP-2.1Q	AP-2.20Q	AP-5.1Q	AP-7.5Q	AP-16.1Q	Program Orientation	Creation, Maint., Use & Disposal of OCRWM Records (CBT)	Introduction to Quality Assurance	Impacts
Baumeister, R.	X								Employee completed training on the Indoctrination and Training Procedure on 7/27/98. Even though the training on the current procedure has not been completed, the training requirements have not changed from the last version of the procedure; therefore there are no impacts.
Benson, A.			X	X				X	No impact – Employee doesn't perform work subject to the QARD
Brocoum, S.	X				X		X		<p><u>AP-2.1Q</u> – The Deputy AM for OL&amp;RC signed all IDPs as the first level supervisor. (The Deputy was current on AP-2.1Q Training). Employee signed the IDPs as the second-level supervisor; therefore, there are no apparent impacts.</p> <p><u>AP-16.1Q</u> - No impact – Employee has not performed work to AP-16.1Q, in the past year. In addition, the QA Organization provides a QC check on deficiencies, which ensures that the intent of AP-16.1Q is properly implemented.</p> <p><u>AP-17.1Q</u> – Employee has not performed any work related to AP-17.1Q, in the last three years.</p>
Carter, J.			X				X	X	No impact – Employee doesn't perform work subject to the QARD
Choung, T.			X						AP-5.1Q was added to employee's IDP in July, 01. Employee has not performed any work related to AP-5.1Q since the requirement was added.
Clemensen, K.			X						AP-5.1Q was added to employee's IDP in July, 01. Employee has not performed any work related to AP-5.1Q since the requirement was added.
De La Garza, J.			X						No impact – Employee was assigned training when detailed to OPS and didn't perform any AP-5.1Q-related work. Employee now works in OPC and doesn't perform work subject to the QARD

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## TRAINING COMPLETION STATUS

Name	AP-2.1Q	AP-2.20Q	AP-5.1Q	AP-7.5Q	AP-16.1Q	Program Orientation	Creation, Maint., Use & Disposal of OCRWM Records (CBT)	Introduction to Quality Assurance	Impacts
Fisher, G.			X						No impact – Employee doesn't perform work subject to the QARD
Gardiner, J.					X				No impact – Employee has not performed work to AP-16.1Q, in the past year. In addition, the QA Organization provides a QC check on deficiencies, which ensures that the intent of AP-16.1Q is properly implemented.
Gil, A.	X								Employee completed training on the Indoctrination and Training Procedure on 7/10/98. Even though the training on the current procedure has not been completed, the training requirements have not changed from the last version of the procedure; therefore there are no impacts.
Gilbert, L.			X						AP-5.1Q was added to employee's IDP in July, 01. Employee has not performed any work related to AP-5.1Q since the requirement was added.
Hamilton-Ray, B.			X						AP-5.1Q was added to employees IDP in July, 01. Employee has not performed any work related to AP-5.1Q since the requirement was added.
Hanlon, C.	X						X		<u>AP-2.1Q</u> - Employee completed training on the Indoctrination and Training Procedure on 7/10/98. Even though the training on the current procedure has not been completed, the training requirements have not changed from the last version of the procedure; therefore there are no impacts. <u>AP-17.1Q</u> – Employee has not performed any work related to AP-17.1Q
Hellstrom, G.	X								No impact – Employee doesn't perform work subject to the QARD
James, R.			X						AP-5.1Q was added to employee's IDP in July, 01. Employee has not performed any work related to AP-5.1Q since the requirement was added.

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## TRAINING COMPLETION STATUS

Name	AP-2.1Q	AP-2.20Q	AP-5.1Q	AP-7.5Q	AP-16.1Q	Program Orientation	Creation, Maint., Use & Disposal of OCRWM Records (CBT)	Introduction to Quality Assurance	Impacts
Levich, R.	X		X				X		No impact – Employee doesn't perform work subject to the QARD
Lupton, R.	X	X	X		X				No impact – Employee doesn't perform work subject to the QARD
Morris, S.	X						X		No impact – Employee doesn't perform work subject to the QARD
Osborne, J.					X				No impact – Employee has not performed work to AP-16.1Q, in the past year. In addition, the QA Organization provides a QC check on deficiencies, which ensures that the intent of AP-16.1Q is properly implemented.
Pigee, K.			X						AP-5.1Q was added to employee's IDP in July, 01. Employee has not performed any work related to AP-5.1Q since the requirement was added.
Price, J.						X			Employee has completed all other "Q" training requirements. While it is acknowledged that there is a failure due to this employee not attending the Program Orientation, the fact that he has been trained to the specific procedures he has utilized has ensured that there is no impact to the work performed.
Ray, L.			X						AP-5.1Q was added to employee's IDP in July, 01. Employee has not performed any work related to AP-5.1Q since the requirement was added.
Royer, D.	X								Employee completed training on the Indoctrination and Training Procedure on 7/10/98. Even though the training on the current procedure has not been completed, the training requirements have not changed from the last version of the procedure; therefore there are no impacts.
Schmitt, J.			X				X		No impact – Employee doesn't perform work subject to the QARD
Stucker, P.	X								Employee completed training on the Indoctrination and Training Procedure on 7/10/98. Even though the training on the current

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## TRAINING COMPLETION STATUS

Name	AP-2.1Q	AP-2.20Q	AP-5.1Q	AP-7.5Q	AP-16.1Q	Program Orientation	Creation, Maint., Use & Disposal of OCRWM Records (CBT)	Introduction to Quality Assurance	Impacts
									procedure has not been completed, the training requirements have not changed from the last version of the procedure; therefore there are no impacts.
Tynan, M.					X				Employee initiated a DR in 2000; however, since the QA Organization provides a QA check on deficiencies that ensures that the intent of AP-16.1Q is properly implemented, any potential implementation problems would have been corrected. Therefore, there is no impact.
Urban, D.							X		No impact – Employee doesn't perform work subject to the QARD
Van Der Puy, M.			X						AP-5.1Q was added to employee's IDP in July, 01. Employee has signed as the approval authority on LP-4.1Q-OCRWM since the AP-5.1Q was added to his IDP. However, the procedure change was reviewed and accepted by another individual within his organization who has completed the training, and, in addition, was reviewed and accepted by other required reviewers. Since the procedure was adequately reviewed, there is no impact.
Williams, D.					X				No impact - Employee has not performed any work related to AP-16.1Q since 1998. In addition, the QA Organization provides a QC check on deficiencies which ensures that the intent of AP-16.1Q is properly implemented.
Young, F.			X						AP-5.1Q was added to employee's IDP in July, 01. Employee has not performed any work related to AP-5.1Q since the requirement was added.

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VERIFICATION AND CLOSURE OF DR YMSCO-01-D-138

<sup>14a</sup> <sup>was</sup> <sup>1/9/02</sup>  
Block 13a. Immediate Actions:

None.

Block 14. Remedial Actions:

Verified G. Fisher, W. Kozai, and S. Rives are assigned areas that are not subject to the requirements of the QARD. YMSCO employees performing work subject to the QARD were notified of outstanding training requirements completion prior to initiation of work activities in those areas.

Block 15. Extent of Condition:

Verified the Individual Development Plans (IDP) for all DOE YMP personnel were compared against the Training Department's Train Service Data Base Status Report to determine incomplete training assignments. The result of the review was documented on a matrix, reflected by name, which assigned training was incomplete and documented that no impact resulted as a result of the incomplete training. The matrix reflected 30 personnel, of which 8 employees do not perform work subject to the QARD. The IDPs were revised in Block 4, Required Mandated "QA" Training, to remove the designated training. Twenty employees subsequently completed the required training as of January 4, 2002. Two DOE employees retired in January 2002. They were assigned to Project Planning and ES&H Coordination, which is not subject to the QARD.

Block 17. Action to Preclude Recurrence:

Verified training coordinators were assigned for each YMSCO organization to monitor completion of individual training assignments (Lotus Notes, dated 12/20/2001, Subject: Training Coordinators, from Linda Quering).

Based on the above verifications, it is recommended that this deficiency report be closed.

Donald J. Harris  
QAR: Donald J. Harris

1/9/02  
Date