

Memorandum

QA: QA

DATE: AUG 08 2002

REPLY TO

ATTN OF: RW-3 (R. B. Murthy/4-1460)

SUBJECT: VERIFICATION OF CORRECTIVE ACTION AND CLOSURE OF DEFICIENCY
REPORT (DR) YMSCO-02-D-083

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

The Office of Quality Assurance staff has evaluated the corrective action of DR YMSCO-02-D-083 and determined the results to be satisfactory. As a result, the DR is considered closed.

There was no impact since the self-assessment conditions that were not entered into Condition/Issue Identification and Reporting/Resolution System were evaluated and found not to be conditions adverse to quality.

If you have any questions, please contact either James Blaylock at (702) 794-1420 or Patrick V. Auer at (702) 794-1353.



Ram B. Murthy, Acting Director
Office of Quality Assurance

OQA:JB-1471

Enclosure:
DR YMSCO-02-D-083

NMSS07
wm-11

AUG 08 2002

cc w/encl:

N. K. Stablein, NRC, Rockville, MD
Robert Latta, NRC, Las Vegas, NV
S. W. Lynch, State of Nevada, Carson City, NV
Engelbrecht von Tiesenhausen, Clark County, Las Vegas, NV
R. B. Berlien, BSC, Las Vegas, NV, M/S 280
D. T. Krisha, BSC, Las Vegas, NV
T. J. Wall, BSC, Las Vegas, NV
P. V. Auer, NQS, Las Vegas, NV
W. J. Glasser, NQS, Las Vegas, NV
D. G. Opielowski, NQS, Las Vegas, NV
E. R. Cooper, DOE/YMSCO, Las Vegas, NV
J. R. Dyer, DOE/YMSCO, Las Vegas, NV
C. E. Hampton, DOE/YMSCO, Las Vegas, NV
D. G. Horton, DOE/YMSCO, Las Vegas, NV
J. M. Replogle, DOE/YMSCO, Las Vegas, NV
B. M. Terrell, DOE/YMSCO, Las Vegas, NV

WM5507
WM-11

ORIGINAL

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

8 DEFICIENCY REPORT
 CORRECTIVE ACTION
REPORT
NO. YMSCO-02-D-083
PAGE 1 OF

QA: XQA

DEFICIENCY/CORRECTIVE ACTION REPORT

D60 3/19/02

1. Controlling Document: AP-2.20Q, Revision 0, ICN 1 - "Self-Assessments"
2. Related Report No.: SA-OLRC-2002-005

3. Responsible Organization: DOE, BSC
4. Discussed With: Don Horton, Don Krishna

5. Requirement:
Section 5.4.3 b of the procedure requires the Self-Assessment Team Lead to enter any conditions and recommendations identified in the self-assessment report into CIRS.

6. Description of Condition:
The semi-annual self-assessment review, SA-OLRC-2002-005, found that only 50 of the 196 identified conditions and recommendations identified in the self-assessments reviewed were entered into CIRS. (The self-assessments reviewed included self-assessments of Q activities, such as SA-SSFS-2001-013 and SA-S&AP-2002-003).

7. Initiator: Ron Berlien
Date 3/7/02
9. Does a stop work condition exist? (Not required for a DR)
 Yes No
If Yes, Check One: A B C D

10. Recommended Actions:
NONE.

11. QA Review: William J. Blum Jr.
QAR PAT ALLER Date 3-25-02
12. Response Due Date:
10 working days from issuance

13. DOQA Issuance Approval:
Printed Name Ram Murthy
Signature James Blaylock Date 3/25/02

22. Corrective Actions Verified
QAR Pat Aller Date 7/3/2002
23. Closure Approved by:
DOQA [Signature] Date 8/7/02

Submittal Page 1 of 1

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. YMSCO-02-D-83
PAGE OF
QA: QA

DEFICIENCY REPORT/CORRECTIVE ACTION REPORT INITIAL RESPONSE

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

A memo will be issued to DOE and BSC staff reiterating the requirement for entering into CIRS conditions and recommendations resulting from self-assessments.

Date when process will meet requirements: 4/26/02

5. Immediate Remedial Actions Completed:

N/A

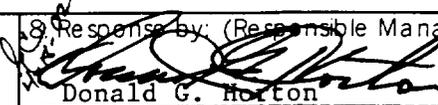
6. Plan for Determining the Extent of Condition:

All self-assessments of Q activities conducted since 6/1/01 will be evaluated to determine whether conditions and recommendations have been entered into CIRS.

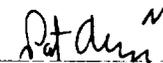
7. Due Date for Submittal of Completed Response:

5/10/02

8. Response by: (Responsible Manager)

Donald G. Horton  4/23/02
Printed Name Signature Date

9. QAR Evaluation: Accept Partially Accept Reject

Pat Auer  Not significant 4/30/02
Printed Name Signature Date

10. QAM Concurrence:

RAM MURPHY  5/2/02
Printed Name Signature Date

D60 0118/02

Submittal Page 1 of 12 D60 6/18/02

1. DR/CAR NO. YMSCO-02-D-03
PAGE OF
QA: QA

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

2. Check if Amended
Check if also Initial Response

3. Extended Processing
 No Yes (If yes, submit
Extended Processing request)

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)

There were five DOE Q self-assessments conducted since 6/1/01. These self-assessment reports were evaluated to determine whether conditions/recommendations had been entered into CIRS. The results are as follows.

(continued)

5. Impact: (Provide an impact statement relative to waste isolation and safety, and impact to other work, if any)

There is a loss of value in conducting the self-assessments, and resultant conditions are not in a tracking system that ensures proper attention.

6. Remedial Actions: (Document all actions necessary to address the results of the Extent of Condition)

A spreadsheet identifying the BSC self-assessment reports has been compiled and all reports are being examined to determine whether any conditions/recommendations were identified.

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

Insufficient cognizance of procedural requirements by the preparers and approvers of self-assessment reports.

8. Action to Preclude Recurrence: (Address those actions necessary to prevent the identified cause from recurring)

In the latest revision to AP-16.20Q, a requirement to enter the related CIRS numbers in the self-assessment report was added which will provide added assurance that conditions/recommendations are entered into CIRS. In addition, a self-assessment handbook has been developed to provide guidance for planning, conducting, and reporting self-assessments. Memos have been issued to DOE and BSC employees that reiterate the self-assessment requirements, and require appropriate individuals to attend self-assessment training.

9. Due Date for Completion of Corrective Action:
June 26, 2002

10. Responsible Manager
Don Horton
Printed Name  Signature
6/17/02
Date

11. CAR Evaluation: Accept Partially Accept Reject
Printed Name Signature Date

12. QAM Concurrence:
Printed Name Signature Date

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

DR/CAR/QO
 SWO

NO. YMSCO-02-D-063
PAGE OF
QA: QA

CONDITION ADVERSE TO QUALITY CONTINUATION PAGE

4. Extent of Condition (continued)

DOE

- SA-MTS-2001-01 - Two conditions/recommendations were identified and both were entered into CIRS (#1806 and 1808).
- SA-OLRC-2002-02 - Five conditions/recommendations were identified and all were entered into CIRS (#2288 and 2289).
- SA-OPS-2002-01 - Four conditions/recommendations were identified and all were entered into CIRS (#2141).
- SA-OQA-2002-01 - There were no conditions/recommendations identified during this assessment.
- SA-OQA-2001-01 - Two conditions/recommendations were identified and both were entered into CIRS (#1987 and 1988).

There were 37 BSC Q self-assessments conducted since 6/1/01 that did not have any CIRS entries. These self-assessment reports are being reviewed to assure any conditions/recommendations that were identified are entered into CIRS.

*Superseded by response dated 6/26/02
D60 6/26/02*

6/21/02
083

Submittal Page 1 of 7

1. DR/CAR NO. YMSCO-02-D-85
PAGE OF
QA: QA

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

- 2. Check if Amended
Check if also Initial Response
- 3. Extended Processing
 No Yes (If yes, submit
Extended Processing request)

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)

There were 59 BSC Q self-assessments conducted since 6/1/01. These self-assessment reports were evaluated to determine whether conditions/recommendations had been entered into CIRS. See attachment for details of the evaluation. Five additional CIRS items were issued. No conditions adverse to quality were noted.

5. Impact: (Provide an impact statement relative to waste isolation and safety, and impact to other work, if any)

No change from the previous response.

6. Remedial Actions: (Document all actions necessary to address the results of the Extent of Condition)

All conditions/recommendations had been entered into CIRS for the DOE self-assessments. Five additional CIRS items have been entered into CIRS as a result of the evaluation of BSC self-assessment reports.

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

No change from the previous response.

8. Action to Preclude Recurrence: (Address those actions necessary to prevent the identified cause from recurring)

No change from the previous response.

9. Due Date for Completion of Corrective Action:

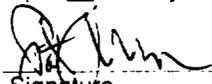
June 21, 2002

10. Responsible Manager:

Don Horton
Printed Name


Signature Date 6/21/02

11. QAR Evaluation: Accept Partially Accept Reject

Pat Ayer  6/24/02
Printed Name Signature Date

12. QAM Concurrence:

RAM MURPHY Jane Blaylock for 6/26/02
Printed Name Signature Date

BSC Self-Assessments from 06/01/01 - 04/30/02

	A	B	C	E	G	H	I	J
	1	Manager	Date	SA #	#Cond	#Recs	CIRS #	#Def
2	q	Charles Sharrocks	06/25/01	SA-RPC-2001-001	2	2	2347, 2348	n/a
3	q	Collin Moller	11/15/01	SA-SP&PI-2001-001	5	7	2222, 2224, 2225, 2226, 2227 Resolutions were included	n/a
4	q	David Tommela	04/29/02	SA-CIO-IRM-2002-002	1	1	2019	n/a
5	q	David Tommela	10/16/01	SA-IC-SQ/C-2002-01	15	15	2123 - all cond/res included	n/a
6	q	Dennis Sorensen	06/01/01	SA-IAM-2001-010	1	0	1747	n/a
7	q	Dennis Sorensen	09/06/01	SA-IAM-2001-012	0	0	n/a	n/a
8	q	Dennis Sorensen	09/06/01	SA-IAM-2001-013	0	3	1943 - all recommendations incl	n/a
9	q	Dennis Sorensen	02/04/02	SA-IAM-2002-004	0	1	2312	n/a
10	q	Dennis Sorensen	04/18/02	SA-IAM-2002-005	2	0	2550, 2551	n/a
11	q	Dennis Sorensen	01/22/02	SA-ES-2002-001	0	0	n/a	n/a
12	q	Dennis Sorensen	10/08/01	SA-IAM-2001-014	0	1	2066	n/a
13	q	Dennis Sorensen	10/08/01	SA-IAM-2001-016	0	0	n/a	n/a
14	q	Dennis Sorensen	12/14/01	SA-IAM-2002-002	2	2	2199, 2218	n/a
15	q	Dennis Sorensen	11/30/01	SA-IAM-2002-003	0	0	n/a	n/a
16	q	Don Krisha	01/31/02	SA-BSCQA-2002-01	0	3	2306, 2307, 2308	n/a
17	q	Don Krisha	08/07/01	SA-QAG-2001-002	0	0	n/a	n/a
18	q	Don Krisha	08/23/01	SA-QAG-2001-001	3	3	1868, 1869, 1870	n/a
19	q	Don Krisha	07/19/01	SA-BSCQA-2001-01	2	2	1736-cond/res both incl.	n/a
20	q	Don Krisha	08/01/01	SA-BSCQA-2001-02	0	0	n/a	n/a
21	q	Don Krisha	07/12/01	SA-QC-2001-001	0	0	n/a	n/a

BSC Self-Assessments from 06/01/01 - 04/30/02

	A	B	C	E	G	H	I	J
1		Manager	Date	SA #	#Cond	#Recs	CIRS #	#Def
22	q	Don Krisha	07/30/01	SA-QC-2001-002	0	0	n/a	n/a
23	q	Don Krisha	04/03/02	SA-QS-2002-001	0	0	n/a	n/a
24	q	Don Krisha	04/18/02	SA-QC-2002-001	1	0	2375	n/a
25	q	E. Stroupe	06/26/01	SA-DQP-2001-001	6	6	1702, 1703, 1704	3
26	q	James Whitcraft	03/31/02	SA-ENG-2002-001	1	0	2476	n/a
27	q	Jim Whitcraft	01/07/02	SA-ENG-2002-002	0	2	2265, 2266	n/a
28	q	Lee Fossum	06/01/01	SA-SSFS-2001-011	0	0	n/a	n/a
29	q	Lee Fossum	06/01/01	SA-SSFS-2001-013	8	0	1794, 1797, 1798, 1799, 1800, 1801;1595 previously open	2
30	q	Michael Voegele	01/09/02	SA-CSO/SNL-FY02-002	0	0	n/a	n/a
31	q	Nancy Williams	11/05/01	SA-SS/FS-2001-001	1	1	460	n/a
32	q	Nancy Williams	09/17/01	SA-PROJ-2001-004	3	3	1958, 1959	1
33	q	Nancy Williams	08/21/01	SA-SPP-2001-001	7	7	1835, 1836, 1837, 1838, 1839, 1841	n/a
34	q	Nancy Williams	08/27/01	SA-S&AP-2001-004	0	0	n/a	n/a
35	q	Nancy Williams	06/26/01	SA-DQP-2001-001	6	6	1702, 1703, 1704	3
36	q	Nancy Williams	10/29/01	SA-PROJ-2002-001	1	0	2130	n/a
37	q	Nancy Williams	10/09/01	SA-PROJ-2002-002	2	2	2082, 2083	n/a
38	q	Nancy Williams	11/28/01	SA-PROJ-2002-005	0	3	2187 (closed & incl w/CAR)	1
39	q	Nancy Williams	11/06/01	SA-SOP-2002-001	4	4	2089, 2090, 2091, 2092	n/a
40	q	Nancy Williams	12/19/01	SA-S&AP-2002-005	0	0	2744 [no CAQs]	n/a

BSC Self-Assessments from 06/01/01 - 04/30/02

	A	B	C	E	G	H	I	J
1		Manager	Date	SA #	#Cond	#Recs	CIRS #	#Def
41	q	Nancy Williams	01/09/02	SA-S&AP-2002-007 [CSO/SNL-FY02-002]	0	0	n/a	n/a
42	q	Nancy Williams	10/31/01	SA-S&AP-2002-003	4	5	2153, 2155, 2157, 2158; resolutions incl.	n/a
43	q	Nancy Williams	11/29/01	SA-SOP-2002-004	1	1	NCR #YMSCO-01-0020	n/a
44	q	Nancy Williams	07/25/01	SA-SRP-2001-001	0	3	1983	n/a
45	q	Nancy Williams	09/19/01	SA-S&AP-2001-007	2	1	1919	2
46	q	Nancy Williams	08/13/01	SA-S&AP-2001-003	0	1	1881	n/a
47	q	Nancy Williams	09/24/01	SA-SSFS-2001-019	0	6	2060, 2061, 2062 - includes multiple recs	n/a
48	q	Nancy Williams	07/24/01	SA-RDP-2001-01	3	3	1840, 1843, 1847	n/a
49	q	Nancy Williams	08/15/01	SA-RDP-2001-03	2	2	1822, 1823	n/a
50	q	Michael Voegele	04/19/02	SA-CSO/LBNL-02-001	0	0	n/a	n/a
51	q	Nancy Williams / Stephen Cereghino	04/30/02	SA-LAP-2002-002	2	2	2580, 2581	n/a
52	q	Nancy Williams/ Bob Andrews	01/14/02	SA-S&AP-2002-006	0	0	n/a	n/a
53	q	Nancy Williams/ Bob Andrews	10/23/01	SA-SA-2001-001	12	12	2239, 2240, 2241, 2242, 2243, 2244, 2245, 2246, 2247, 2248, 2249, 2250	1
54	q	Nancy Williams/ Bob Andrews	10/31/01	SA-S&AP-2002-004	2	2	2135, 2136	n/a
55	q	Nancy Williams/ Bob Andrews	10/25/01	SA-S&AP-2002-001	0	0	n/a	n/a
56	q	Nancy Williams/ Bob Andrews	04/19/02	SA-PAP-2002-002	2	2	2530, 2531	n/a
57	q	Nancy Williams/ Bob Andrews	04/30/02	SA-PAP-2002-004	2	0	2587, 2588	n/a
58	q	Nancy Williams/ Larry Trautner	01/31/02	SA-RDP-2002-002	4	4	2313, 2314, 2315, 2316	n/a
59	q	Jim Whitcraft	4/26/02	SA-ENG-2002-004	0	0	n/a	n/a
60	q	Michael Voegele/A. Orrell	4/26/02	SA-PAP-2002-003 (SA- CSO/SNL-2002-003)	0	0	n/a	n/a

BSC Self-Assessments from 06/01/01 - 04/30/02

K	
1	DR/CAR # and/or comments
2	n/a
3	n/a
4	n/a
5	n/a
6	n/a
7	n/a
8	n/a
9	n/a
10	n/a
11	n/a
12	n/a
13	n/a
14	n/a
15	n/a
16	n/a
17	n/a
18	n/a
19	n/a
20	n/a
21	n/a

b

BSC Self-Assessments from 06/01/01 - 04/30/02

K	
1	DR/CAR # and/or comments
22	n/a
23	n/a
24	n/a
25	LBNL-01-D-143; 2 cond = BSC-01-D-087
26	n/a
27	n/a
28	n/a
29	BSC-01-D-092
30	n/a
31	n/a
32	BSC-01-D-137
33	n/a
34	n/a
35	LBNL-01-D-143; 2 cond = BSC-01-D-087 3rd DR rejected per OQA; see MOL.20011003.0012
36	n/a
37	n/a
38	BSC-02-C-001
39	n/a
40	n/a

10

BSC Self-Assessments from 06/01/01 - 04/30/02

K	
1	DR/CAR # and/or comments
41	n/a
42	n/a
43	n/a
44	n/a
45	Addressed by BSC-01-D-129
46	n/a
47	n/a
48	n/a
49	n/a
50	n/a
51	n/a
52	n/a
53	BSC-01-D-088
54	n/a
55	n/a
56	n/a
57	n/a
58	n/a
59	n/a
60	n/a

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

DR/CAR/QO
 SWO

NO. YMSCO-02-D-083
PAGE OF
QA: QA

CONDITION ADVERSE TO QUALITY CONTINUATION PAGE

VERIFICATION OF CORRECTIVE ACTIONS FOR DEFICIENCY REPORT (DR) YMSCO-02-D-083

Verification of corrective actions for DR YMSCO-02-D-083 was performed on July ³~~2~~, 2002. The following documents were reviewed with regard to the self-assessment program:

*DOE
7/19/02*

1. Memorandum from J. Russell Dyer to DOE/YMSCO employees, dated April 24, 2002 reiterating self-assessment requirements.
2. Memorandum from J. Russell Dyer to DOE/YMSCO employees requiring appropriate OCRWM individuals to attend self-assessment training.
3. Interoffice memorandum from K. G. Hess to Distribution, dated May 28, 2002 reiterating self-assessment requirements.
4. AP-2.20Q, Revision 1, ICN 0, Self-Assessments, section 5.5.1 includes requirement to conditions/recommendations into CIRS.
5. OCRWM Self-Assessment Handbook, Revision 0, dated March 15, 2002 which provides guidance for planning, conducting and reporting self-assessments.
6. CIRS item numbers 2744, 2530, 2531, 2587 and 2588 for BSC self-assessment reports and CIRS item numbers 1806, 1808, 2288, 2289, 2141, 1987 and 1988 for DOE self-assessments reports generated since June 1, 2001.

Based on the reviews of the objective evidence, it is recommended that DR YMSCO-02-D-083 be closed.

Evaluation by *Pat Auer* QAR, July 3, 2002
Pat Auer