



Department of Energy
Washington, DC 20585

QA: QA

FEB 19 2003

S. H. Swenning
Bechtel SAIC Company, LLC
1180 Town Center Drive, M/S 423
Las Vegas, NV 89144

**VERIFICATION OF CORRECTIVE ACTION AND CLOSURE OF DEFICIENCY REPORT
(DR) BSC-01-D-129 REGARDING TIMELY TRAINING TO PROCEDURES**

The Office of Quality Assurance staff has evaluated the corrective action of DR BSC-01-D-129 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 John R. Doyle at (702) 794-5021.

OQA:JB-0715

Enclosure:
DR BSC-01-D-129

James Blaylock
R. Dennis Brown, Director
Office of Quality Assurance



Printed with soy ink on recycled paper

Nm5507
wm-11

S. H. Swenning

-2-

FEB 19 2003

cc w/encl:

N. K. Stablein, NRC, Rockville, MD
Robert Latta, NRC, Las Vegas, NV (2 cys)
S. W. Lynch, State of Nevada, Carson City, NV
L. W. Bradshaw, Nye County, Pahrump, NV
D. T. Krisha, BSC, Las Vegas, NV
D. W. Pearman, BSC, Las Vegas, NV
J. R. Doyle, NQS, Las Vegas, NV
W. J. Glasser, NQS, Las Vegas, NV
D. G. Opielowski, NQS, Las Vegas, NV
W. J. Arthur, III, DOE/ORD (RW-2W), Las Vegas, NV
W. J. Boyle, DOE/ORD (RW-40W), Las Vegas, NV
E. R. Cooper, DOE/ORD (RW-40W), Las Vegas, NV
B. M. Terrell, DOE/ORD (RW-40W), Las Vegas, NV
J. D. Ziegler, DOE/ORD (RW-40W), Las Vegas, NV

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ORIGINAL

THIS IS A RED STAMP
☒ DEFICIENCY REPORT
☐ CORRECTIVE ACTION REPORT
 NO.BSC-01-D-129 8/16/01
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 QA: L

OFFICE OF CIVILIAN
 RADIOACTIVE WASTE MANAGEMENT
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DEFICIENCY/CORRECTIVE ACTION REPORT

1. Controlling Document: AP-2.1Q, Rev. 1, ICN 0, Indoctrination and Training of Personnel
 2. Related Report No.: BSC-ARC-01-08

3. Responsible Organization: Bechtel SAIC Company LLC (BSC)
 4. Discussed With: P. Dixon, J. Archuleta, B. Mellor, P. Turner,

5. Requirement:
 AP-2.1Q, paragraph 5.4.2 states "Employee: a) Complete indoctrination and training as specified in the IDP or Training Requirements Matrix. 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."

6. Description of Condition:
 Contrary to the above, no objective evidence of completion of the training for the below individuals, as specified in the approved Training Requirements Matrices(TRM), could be identified:

NAME	TRM	JOB FUNCTION	REQUIRED TRAINING NOT COMPLETED
P. Dixon	SCIENCE 6/4/01	WP Manager/Lab. Lead, etc.	AP-16.1Q, AP-2.21Q
G. Valentine	SCIENCE 6/4/01	WP Manager/Lab. Lead, etc.	AP-16.1Q, AP-2.21Q
A. Eddebbarth	SCIENCE 6/4/01	WP Manager/Lab. Lead, etc.	AP-16.1Q, AP-2.21Q
A. Meijer	SCIENCE 6/4/01	Technical Report Writer	AP-3.11Q
A. Orrell	SCIENCE 6/4/01	WP Manager/Lab. Lead, etc.	AP-16.1Q, AP-2.21Q
Hong-Nian Jow	SCIENCE 6/4/01	WP Manager/Lab. Lead, etc.	AP-16.1Q, AP-2.21Q
L. DeLoach	SCIENCE 6/4/01	Data Verification Analyst/. .	AP-3.15Q
		Scientist	AP-SIII.1Q
K. Lee	SCIENCE 6/4/01	Scientist	AP-SIII.1Q

(Continued on continuation page)

7. Initiator: John R. Doyle Date 8/28/01.
 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: John R. Doyle Date 8/28/01.
 QAR John R. Doyle
 12. Response Due Date:
 10 working days from issuance

13. DOQA Issuance Approval:
 Printed Name Robert W. Clark Signature James Blaylock Date 9/17/01

22. Corrective Actions Verified: John R. Doyle Date 02/12/03.
 23. Closure Approved by: DOQA James Blaylock Date 2/19/03

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8. ☒ DR/CAR
☐ Stop Work Order

NO BSC-01-D-129 ^{8/23/01} *JS*

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DEFICIENCY/CORRECTIVE ACTION REPORT/STOP WORK ORDER CONTINUATION PAGE

BLOCK 6 - CONTINUED

NAME	TRM	JOB FUNCTION	REQUIRED TRAINING NOT COMPLETED
C. Sharrocks	Office of GM 5/3/01	Technical Processes	Technical Work Process (TWP)
E. Segura	Engineering 5/29/01	Engineer/Scientist	AP-16.1Q
W. French	Engineering 5/29/01	Checker	AP-SI.1Q
L. Southworth	Information Compliance Dept. 6/13/01	Software Qual./Compl. Mgr	AP-16.1Q

(Note: The Chief Science Officer's Training Requirements Matrix, Rev. 0, was dated 4/24/01. Rev. 1, dated 6/4/01, added some job functions and changed Class # designations but the training requirements remained essentially the same.)

TYPE RESPONSE:

- ☒ Initial
☐ Complete
☐ Amended

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DEFICIENCY/CORRECTIVE ACTION REPORT (RESPONSE)

14a. Immediate Actions:

Concurrent with the distribution of AP-2.1Q Revision 2, *Indoctrination and Training of Personnel*, the training department issued a memorandum to distribution (Paul E. Turner to Distribution, HRT.09/01.015, dated September 20, 2001) that outlines and describes improvements to the Training Matrix process and requests the distribution of training matrices to project staff so that staff may more clearly understand their training requirements. Training requirements and training needs are also maintained on a real-time basis in TrainServe.

Compliance Date: 09/20/01

14. Remedial Actions:

Individuals identified in the deficiency were notified by email on September 27, 2001 to access the TrainServe database to determine, schedule and complete required training. Training for those items indicated "I" (initial) is to be completed by 12/27/01 and for those items indicated by "IP" (initial prior) prior to the execution of quality-affecting work.

15. Extent of Condition:

The project maintains an extent of condition database (TrainServe). Training requirements and training needs can be determined on a real-time basis. A monthly status is sent to Responsible Management. The needs report from TrainServe will be accessed by October 31, 2001 to determine the extent of condition of this DR and determine impact, if any, on quality affecting work.

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

The cause of condition will be provided in the complete response.

17. Action to Preclude Recurrence:

The action to preclude recurrence will be provided in the complete response.

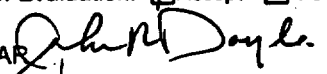
18. Due Date: 11/09/01

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

19. Response by: This response has been coordinated with the BSC QE identified in the DR database.

S. Swenning  Date 10/09/01 Phone 702-295-5184

20. Evaluation: ☒ Accept ☐ Partially Accept ☐ Reject

QAR  10/11/01 Date

21. Concurrence:

DOQA  Date 10/11/01

Exhibit AP-16.1Q.1

Rev. 12/20/1999

TYPE RESPONSE:

- ☒ Initial
☐ Complete
☒ Amended

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DEFICIENCY/CORRECTIVE ACTION REPORT (RESPONSE)

14a. Immediate Actions:

Same as 10/09/01 Response

Compliance Date:

14. Remedial Actions:

Individuals identified in the deficiency were notified by email on September 27, 2001 to access the TrainServe database to determine, schedule and complete required training. Training for those items indicated "I" (initial) is to be completed by 12/27/01 and for those items indicated by "IP" (initial prior) prior to the execution of quality-affecting work.

Functional Managers will be provided with the extent of condition reports to determine the quality-affecting training that is required to be completed. BSC Senior Management has determined that required training will be completed by the due date indicated in Block 18.

15. Extent of Condition:

See Continuation page 3

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

The deficiency was caused because of a lack of attention and commitment by management and staff to perform required training. The issuance of AP-2.1Q Revision 2, *Indoctrination and Training of Personnel*, and the training department issued-memorandum to distribution (Paul E. Turner to Distribution, HRT.09/01.015, dated September 20, 2001) provided management and staff an effective feedback tool to determine required training. The project maintains TrainServe, a real-time database that establishes training status and needs for each employee, however it has not been widely acknowledged, resulting in lack of use.

17. Action to Preclude Recurrence:

The BSC General Manager is preparing a memorandum for distribution to management and staff emphasizing the importance of completing training. The memorandum will direct that required quality affecting training identified during the extent of condition investigation identified in Block 15 be completed by the date indicated in Block 18. The memorandum will also emphasize the use of the TrainServe database so that project personnel may take personal responsibility for the completion of training. In addition, the Training Records Manager provides a monthly status report to each functional manager for distribution to staff that documents completed training and training not taken or past due.

Personal accountability is emphasized through the distribution of training matrices to project staff so that staff may more clearly understand their individual training requirements. Training requirements and training needs are also maintained on a real-time basis in TrainServe.

18. Due Date: February 9, 2002 *DOB 11/8/01*

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

19. Response by:
S. Swenning*RBT BSC QA 11/7/01*

Date 11/09/2001 Phone 702-295-1631

20. Evaluation: ☒ Accept ☐ Partially Accept ☐ Reject

QAR

Date *11/08/01*

21. Concurrence:

DOQA

Date

11/16/01

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8. ☒ DR/CAR
☐ Stop Work Order

NO BSC-01-D-129

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DEFICIENCY/CORRECTIVE ACTION REPORT/STOP WORK ORDER CONTINUATION PAGE

Block 15 Extent of Condition

The Training Department, under the direction of the Training Records Manager, prepared an Employee Training Status Report. This report, dated October 19, 2001, was used to perform the extent of condition. The initial determination of extent of condition applies to the BSC organization.

The report will be divided by functional manager in accordance with the system maintained by the Training Records Manager. Because the following organizations do not perform work subject to the requirements of the Quality Assurance Requirements and Description, no additional investigation will be performed:

Communication Dept: ORGAF
Internal Audit Dept: ORGAG
Project Controls Dept: ORGAK

In addition, Project organizations were not reviewed, as the functional reports, Manager of Projects, Manager of Engineering and Chief Science Officer, contain the required information.

Reports are being prepared for presentation to each functional manager. The report identifies the employee and the course not taken or past due. The functional managers are being asked to determine if there are any quality impacts from not completing the course. Many of the courses may be Initial Prior, that is, the course is not required to be complete unless work is to be accomplished in the course area. Similar impacts may be determined for Initial training, where strict, literal compliance may be at issue in not completing the training in 90 days, but there may be no quality impacts. If impacts are noted, the manager is being requested to explain and describe the impacts and to determine if additional conditions adverse to quality may exist. If conditions adverse to quality are identified, they will be documented in separate deficiency reports.

The complete response will be provided to describe any impacts concurrent with the completion date noted in Block 18.

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REQUEST FOR EXTENDED PROCESSING

Extended Actions: (Identify those corrective actions planned for completion beyond 100 days from issuance of the deficiency)

The Extent of Condition Reports prepared for each functional manager requires review and determination of impacts, if any. The quality-affecting required training will be completed by the date noted below.

Expected Completion Date: February 9, 2002

Justification: (Provide an explanation as to why the required actions can not be completed within 100 days)

This is a project-wide deficiency that involves nearly all BSC organizations. The extent of condition, and subsequent determination and evaluation of impacts, is therefore, extensive. BSC Senior Management has determined that a 90-day time period for completion of required training and completing the determination of extent of condition will allow project activities to continue without adverse impact on project deliverables or resources within the training organization.

Impact: (Provide an impact statement to indicate what affect not completing within 100 days will have relative to waste isolation and safety, and impact on other work, if any)

Extending the completion date for this deficiency past 100 days will not impact work relative to waste isolation and safety. This impact determination is based on the following: Project personnel identified in the deficiency have been advised to complete required project training. Project functional managers will determine any subsequent impacts of not completing required training for those employees identified in the extent of condition. Impacts that are conditions adverse to quality will be documented in additional deficiency reports.

Approvals

Responsible Individual:

S. Swenning

Printed Name

Signature

11/7/01
Date

Senior Management:

D. Pearman

Printed Name

Signature

4/7/11
Date

DOE Project Management:

D.G. HORTON

Printed Name

Signature

12/13/01
Date

Director, OQA:

R. DAVIS

Printed Name

Signature

12/10/01
Date

Director, OCRWM (required for scheduled completion dates one year or more from initial issue)

NA

Lake Barrett (Act)

NA

Signature

Date

TYPE RESPONSE:

- ☐ Initial
☒ Complete
☐ Amended

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DEFICIENCY/CORRECTIVE ACTION REPORT (RESPONSE)

14a. Immediate Actions:

Same as 10/09/2001 Response

Compliance Date:

14. Remedial Actions:

Twelve persons were identified in the description of condition. These persons were notified on September 27, 2001 to complete training. To date, eleven persons have completed the training identified or the appropriate matrix has been revised. Training remains for one person, identified in the extent of condition for Chief Science Officer. No impact occurred. Training will be completed as identified in Block 18.

15. Extent of Condition:

The Extent of Condition has been completed as detailed in the 11/09/2001 response. The Extent of Condition applies to the BSC organization, including National Laboratories and subcontract personnel. Results are provided on the continuation page. An Extent of Condition report was generated October 9, 2001 and functional organization were directed to respond. Responses are provided on the continuation page. In summary, no impacts occurred. Please note that training information is subject to Privacy Act considerations, therefore no identifying traits, other than organizations are provided. The QAR may wish to contact the Responsible Individual for additional details as needed.

See Continuation Page

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

Same as 11/09/2001 Response

17. Action to Preclude Recurrence:

See Response dated 11/09/01. In addition, the General Manager issued a memorandum in BSC today dated 01/21/02 titled "A message from Ken Hess about training requirements."

18. Due Date: 04012002

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

19. Response by: S. Swearing BSCQA-RPK R-14-02

Date 02082002

Phone 295-5184

20. Evaluation: ☒ Accept ☐ Partially Accept ☐ RejectQAR *John D. Doyle*Date *2/14/02*

21. Concurrence:

DOQA *James B. England*Date *2/27/02*

Exhibit AP-16.1Q.1

Rev. 12/20/1999

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Block 15, Extent of Condition (cont.)

General Manager

Ten persons were not current with assigned QA related training programs. Two persons remain to complete records training. There is no quality impact as records were processed by administrative staff. Two persons remain to complete AP-5.1Q training. Products approved by these staff have been subject to extensive review through the AP-5.1Q process, therefore no impact occurred.

Business Management

CFO - Six persons were not current with assigned QA related training programs. Two of the persons no longer work in the organization. The other four individuals have completed their assigned training. No QA related work was performed by any of these individuals, therefore no impact occurred.

HR / Training - One person was not current with assigned QA related training programs. She has completed her assigned training. No QA related work was performed by this individual, therefore no impact occurred.

ATSS - Thirty one persons were not current with assigned QA related training programs. Nine of the persons no longer work in the organization. Seven individual training requirement matrixes were changed removing the training requirements. The other fifteen individuals have completed their assigned training. No QA work related to the training not taken was performed by any of these individuals, therefore no impact occurred.

Strategic Planning and Program Integration

Sixteen persons had not completed training for procedures to include AP-16.1Q, AP-SIII.1Q, AP-2.20Q, AP-3.10Q, and Creation/Maintenance/Use & Disposition of OCRWM Records. Further review of the activities performed by those individuals lacking training, including the results of self-assessment report number SA-SP&PI-2001-001 conducted during November 2001, indicated that some individuals were incorrectly classified and should not require such training. However, in all cases, none of the individuals involved had performed any quality affecting work subject to those procedures, therefore no impact occurred.

Quality Assurance

Fourteen persons were identified as not completing training. All persons have completed all quality-related training designated as "I"/required initially. A detailed assessment determined that no impacts occurred for these fourteen staff.

Chief Information Office

25 persons had not completed training. All work on the CIO Requirements Training Matrix is identified as IP. In 13, cases work was performed to procedures without completing the required training. All employees have been counseled to complete training prior to performing work activities where training is required. Review of the work completed did not identify any impacts. One person was removed from Software Qualification work until training can be completed.

Chief Science Office

Four persons were not current with assigned QA related training. No work was performed to these processes, therefore no impact occurred. Two persons have not completed required training. In both cases, neither staff performed to these processes, therefore no impact occurred. One staff on extended leave has not completed training. The Science matrix has been revised and expanded, especially in the area of Laboratory lead and management training. Ongoing training needs are being satisfied as individual and training department schedules permit.

Engineering

171 persons assigned to Engineering were identified as having not taken specified training courses. Of this total, 125 had not taken "IP" courses ("IP" courses are only required if performing related work). Of the 125, none performed work that

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Block 15, Extent of Condition (cont.)

Engineering (Continued):

would have required the training. The remaining persons had not taken "I" courses (courses required, regardless of specific work performed). However, regardless of the type training, i.e., "I" or "IP", all of the 171 respondents reported that the lack of training had no adverse impact on the quality of the work they performed. Therefore, no impact occurred.

The engineering training requirements matrix continues to be refined to both add and delete training requirements. Training is tracked by management and administrative staff on an ongoing basis.

ESH

Sixteen persons had not completed Initial training. Work was done to AP-5.1Q, AP-2.1Q, AP-2.20Q, and AP-16.1Q. The work completed was either approval of work done by trained staff; was done to processes where established review processes exists or was not quality affecting activities (even though done to Q procedure). Therefore, no impact occurred. A number of other persons had not completed "initial prior" training, however no work was performed to these procedures.

Procurement

Ten persons were identified. All persons have completed training identified. There were no impacts. Even though those personnel identified above were not in strict compliance with completing the training within 90 days, there were no corresponding quality impacts.

Manager of Projects

Two persons had not completed Records training, one person had not completed the program overview, and one person had not completed AP-16.1Q training. Training has now been completed. No quality impacts were identified. The person identified as not completing the program overview did not perform any quality-affecting activities. Other training was designated as Initial Prior. No impacts occurred in these areas. One person was incorrectly assigned in the matrix. This has been corrected. As in other areas, training is ongoing and improvements to the training matrix are being made as needed.

LBNL

42 persons were initially identified. 28 of these persons no longer work on the project. Thirteen individuals on the Training Status Report had not had training completed at the time the Training Status Report was generated, but have since received training. A detailed assessment determined that no impacts occurred for these thirteen staff.

SNL

Thirty persons were identified as not completing training. Fifteen persons are no longer assigned to the project or do not perform quality-affecting work (students). Nine of the remaining fifteen have completed training. The remaining six are scheduled to complete training. A detailed assessment determined that no impacts occurred for these fifteen staff.

LANL

Fourteen persons were identified as not completing training. One person was identified as IP and had not performed work to these processes. Two persons are no longer employed. A detailed assessment determined that no impacts occurred for any of the fourteen persons identified.

LLNL

One hundred six persons were not current with assigned QA related training programs. Thirty three persons no longer work in the organization. Seven individuals were unable to attend the course in the allotted time frame, but are scheduled this month. The other sixty three participants have completed their assigned training. No QA work related to the training not taken was performed by any of these individuals. Therefore, no impact occurred.

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REQUEST FOR EXTENDED PROCESSING

Extended Actions: (Identify those corrective actions planned for completion beyond 100 days from issuance of the deficiency)

Remedial Action remains to be completed for one person.

Expected Completion Date: April 1, 2002

Justification: (Provide an explanation as to why the required actions can not be completed within 100 days)

The person was notified on September 27, 2001 to complete the remedial actions. One training class remains to be completed.

Impact: (Provide an impact statement to indicate what affect not completing within 100 days will have relative to waste isolation and safety, and impact on other work, if any)

Extending the completion date for this deficiency past 100 days will not impact work relative to waste isolation and safety. This impact determination is based on the following: A comprehensive Extent of Condition, to include those persons identified in Block 6 has been completed. No impact occurred.

Approvals

Responsible Individual:

S. Swenning

Printed Name

Signature

Date

02/14/02

Senior Management:

D. Pearman

Printed Name

Signature

Date

2/14/02

DOE Project Management:

J.R. Dyer

Printed Name

Signature

Date

2/26/02

Director, OQA:

RAM Hurney

Printed Name

Signature

Date

2/26/02

Director, OCRWM (required for scheduled completion dates one year or more from initial issue)

NA

Lake Barrett (Act)

NA

Signature

Date



ATTACHMENT 1 to

DR BSC-01-D-0129 p 1 of 2

Memorandum

QA: N/A

To: Distribution

No: HRT.09/01.015

From: Paul E. Turner *Paul E. Turner*

Date: September 20, 2001

Re: Training Requirements Matrix
(IRM)

CC: RPC = 2 Pages

Effective September 14, 2001, AP-2.1Q, Indoctrination and Training of Personnel requires that BSC Functional Managers provide their employees with a copy of all applicable Training Requirements Matrices.

Each organization maintains the electronic version of their organization's Training Requirements Matrix (IRM). A signed hard copy is sent to the Training organization for entry into TrainingServer and submittal to the Records Processing Center. Enclosure 1 is a hardcopy of the most recent TRM the Training organization has received from your organization.

BSC employees, staff augmentation subcontractors, and national laboratory personnel also have training requirements assigned by the BSC General Manager through the General Employee TRM (enclosure 2) in POL-MG-004, BSC Policy for Establishing Training Requirements.

Please provide each of your employees a copy of all Training Requirements Matrices that are applicable to the individual, including the General Employee TRM. Christine Drummond, Training Supervisor, e-mailed each of you two reports on September 18 that could be helpful in determining what TRM to give to each respective employee.

- The Employee List report provides a list of all employees the Training organization has identified as being assigned to you. This information comes from Organization Charts, Employee Status Change Notices, and the BSC PeopleSoft database.
- The Employee Status report lists all of the job functions assigned to an individual from the applicable Training Requirements Matrices and the status of completion of those requirements. The Job Function titles on the Employee Status report can be matched to the applicable TRM.

Please contact Christine Drummond of my staff at 702-295-5380, if you have any questions.

PEJ/akh

Inclosures:

1. Training Requirements Matrix
2. General Employee Training Requirements Matrix

*ATTACHMENT 1 to**ON BSC-01-D-129 p26P2*

HRT.9/01-015

September 20, 2001

Page Two

Distribution (cont.):

Maxine Carver, SUM1/423

M. J. d'Ouville, SUM1/423

R. S. Hajner, SUM1/423

Jeff Halliday, SUM1/423

Ken Hess, SUM1/423

D. T. Krisha, SUM1/423

M. M. Maxfield, SUM1/423

A. R. Myatt, SUM1/423

Collin Moller, BSC1

J. F. Pelletier, SUM1/423

R. P. Saval, SUM1/423

Charles Sharrocks, SUM1/423

C. D. Sorensen, SUM1/423

J. E. Van Bibber, SUM1/423

M. D. Voegelé, SUM1/423

D. D. Von Der Linden, SUM1/423

R. F. Wemhauer, SUM1/423

J. S. Whitcraft, SUM1/423

N. H. Williams, SUM1/423

ATTACHMENT 2 TO
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Steven Swenning

02/07/2002 01:53 PM

To: Steven Swenning/YM/RWDOE@CRWMS
cc:

Subject: REQUIRED TRAINING-DR 129

QA:N/A Exclusionary

----- Forwarded by Steven Swenning/YM/RWDOE on 02/07/2002 01:55 PM -----



Steven Swenning

09/27/2001 02:50 PM

To: Paul Dixon/YM/RWDOE@CRWMS, Greg Valentine/YM/RWDOE@CRWMS, Al
Eddebbarth/YM/RWDOE@CRWMS, Arend Meijer/YM/RWDOE@CRWMS, Andrew
Orrell/YM/RWDOE@CRWMS, hjoy@sandia.gov@CRWMS, deloach2@lnl.gov@CRWMS, Kearn
Lee/YM/RWDOE@CRWMS, Charles Sharrocks/YM/RWDOE@CRWMS, Ernesto
Segura/YM/RWDOE@CRWMS, William French/YM/RWDOE@CRWMS, Lyle
Southworth/YM/RWDOE@CRWMS
cc: Don Pearman/YM/RWDOE@CRWMS, Michael Voegele/YM/RWDOE@CRWMS, James
Whitcraft/YM/RWDOE@CRWMS, Steven Swenning/YM/RWDOE@CRWMS

Subject: REQUIRED TRAINING-DR 129

QA:N/A Exclusionary

You have been identified in BSC-01-D-129 as deficient in completing required training. Please take the steps necessary to schedule and complete this training.

Your functional manager/Lab Lead can provide you with information on your required training or you may refer to the TrainServer database. Please email or call me at 702-295-1631 if you have any questions.

shs



Paul Turner

01/02/2002 02:14 PM

To: Steven Swenning/YM/RWDOE@CRWMS
cc: Pete Maxfield/YM/RWDOE@CRWMS, DeiDre Barney/YM/RWDOE@CRWMS, Melinda D'Ouville/YM/RWDOE@CRWMS, Eric Koppitsch/YM/RWDOE@CRWMS, Christine Drummond/YM/RWDOE@CRWMS, Barry Mellor/YM/RWDOE@CRWMS

Subject: Response to BSC-01-D-129 Actions Requested

QA:N/A Exclusionary

Subject: BSC-01-D-129 Actions Requested

Not A Federal Record

Steve,

I have obtained the following information from Pete Maxfield's direct reports and their associated organizations as requested in your attached e-mail. Using the training reports and the actions and questions as a guide, here are the results of survey within Pete Maxfield's organizations.

CFO - Six persons were not current with assigned QA related training programs. Two of the persons no longer work in the organization. The other four individuals have completed their assigned training. No QA related work was performed by any of these individuals, therefore no impact occurred.

HR / Training - One person was not current with assigned QA related training programs. She has completed her assigned training. No QA related work was performed by this individual, therefore no impact occurred.

ATSS - Thirty one persons were not current with assigned QA related training programs. Nine of the persons no longer work in the organization. Seven individuals training requirements matrixes were changed removing the training requirements. The other fifteen individuals have completed their assigned training. No QA work related to the training not taken was performed by any of these individuals, therefore no impact occurred.

This email should satisfy the request made by you in the following email. If you have any questions please call me.

Paul Turner

----- Forwarded by Pete Maxfield/YM/RWDOE on 11/08/2001 02:51 PM -----



Steven Swenning

11/08/2001 02:10 PM

To: Pete Maxfield/YM/RWDOE@CRWMS
cc: Don Pearman/YM/RWDOE@CRWMS

Subject: BSC-01-D-129 Actions Requested

QA:N/A Exclusionary

The purpose of this email is to inform you again about DR 129 and to request your assistance in completing the corrective actions. Training Reports for your functional organization are attached. These reports contain ONLY the quality-affecting activities that are identified in the deficiency. This list represents the extent of condition for your organization. It does not track other training requirements. The response to the deficiency is attached below.

1. Determine if training was required (I) or required prior to performing work (IP)
2. Inform the employee that "I" training is required and that "IP" training is required prior to performing

ATTACHMENT 3

TO DA

BSC-01-D-129 p2.p2

work.

2. Determine if work was performed to these procedures.
3. Determine the impact of performing the work without the required training.
4. Document your assessment of the impact.

We have committed to close this deficiency in the next 90 days. Please schedule your impact assessment accordingly, and request that your employees schedule training as soon as possible. Your response by January 15, 2002 is requested. If you have any questions, please see the response below, or call Steve Swenning at 702-295-5184.

ATTACHMENT 4 DR
BSC-01-D-129
P 1 of 1

From: James George on 01/11/2002 11:15 AM EST
To: Steven Swenning/YM/RWDOE@CRWMS
cc: Collin Moller/MV/RWDOE@CRWMS, Thomas Swift/MV/RWDOE@CRWMS, Steve Dana/YM/RWDOE@CRWMS

Subject: BSC-01-D-129 Requested Actions.

Federal Record Status Not Determined

Issue:

The BSC East organization has completed the actions requested for deficiency report BSC-01-D-129 for the Strategic Planning and Program Integration (SP&PI) group in Washington, DC.

Using the training reports, the guidance contained in the 11/08/01 memorandum from Steven Swenning to Collin Moller, and the instructions contained in the last paragraph of Block 15 (Extent of Condition) of the DR, the SP&PI group conducted a review of employee "Initial" and "Initial Prior" training requirements.

The review of the employee training records and training matrices indicated that several employees had not completed training for some procedures to include AP-16.1Q, AP-SIII.1Q, AP-2.20Q, AP-3.10Q, and Creation/Maintenance/Use & Disposition of OCRWM Records. Further review of the activities performed by those individuals lacking training, including the results of self-assessment report number SA-SP&PI-2001-001 conducted during November 2001, indicated that some individuals were incorrectly classified and should not require such training, however, in all cases, *none of the individuals involved had performed any quality affecting work subject to those procedures.*

Path Forward:

Individual training matrices will be revised as needed; notice will be sent to all employees informing them that they need to be aware of their training requirements, and that they are responsible to complete Initial training as it is made available and Initial Prior training prior to performing any work subject to QARD controls; and the local QA representative will continue to monitor the training situation until the training requirements are completed.

However, based on the results of the review, we have determined that there has been no adverse impact on work subject to QARD controls.

This Lotus Note is to satisfy the request for actions for the subject DR. Please contact me if you have any questions or require additional information.

Collin Moller.


ATTACHMENT 5 TO DR BSC-01-D-129
p1 of 2

PAM
WEST-THOMPSON

01/14/2002 08:28 AM



To: Steven Swenning/YM/RWDOE@CRWMS
cc: Don Krisha/YM/RWDOE@CRWMS, John Carter/YM/RWDOE@CRWMS

Subject: Re: BSC-01-D-129 Actions Requested 

QA:N/A Exclusionary

Steve,

Attached is the BSC/QA response for the above referenced DR. If you have any questions or need further information, please let me know.

pam



DR129responsejan02

ATTACHMENT 5 TO BSC-01-D-129

P20F2

1/8/2002

To: Steve Swenning
Fr: Pam West-Thompson for Don Krisha, BSC/QA
Re: Response for BSC-01-D-129

Response to your e-mail of 11/08/2001:

All BSC/QA employees were provided a copy of the BSC/QA Training Matrix and informed via their Training Matrix and/or supervisor of the designations of "I" and "IP".

Referring to the Employee Training Status Report, 11/05/2001, which was used as the basis for extent of condition, the BSC/QA current training status is as follows:

BSC/QA staff and management have completed all quality-related training designated as "I"/required initially. There has been no impact or condition adverse to quality due to previously outstanding requirements. Specific individuals and training dates are listed below.

The following individuals completed AP-2.20Q training on 11/27/01:

Robb Keele – related work not performed prior to training
Leopoldo Buenviaje – related work not performed prior to training
Dan Klimas – related work not performed prior to training
James George – related work not performed prior to training
Ken Gilkerson – related work not performed prior to training
Donna Sinks – related work not performed prior to training

Ardell Whiteside has not yet completed AP-2.20Q training, but has not performed a self-assessment and is out on medical leave.

Robert Hartstern – AP-2.1Q, AP-2.2Q - completed 12/19/01: no adverse impact. Hartstern previously completed a "read and sign" requirement to preceding procedures; acted as QAR for training related corrective actions, including assisting in development of current procedure revisions.

Don Krisha – Creation, Maint., Use & Disposition of OCRWM Records – completed 8/14/01; no adverse impact

Richard Powe – AP-2.2Q – completed 11/19/01 No adverse impact; completed previous training and read & sign, but could not retrieve documentation. Therefore Powe attended class again.

Charles Warren – AP-SIII.1Q – Briefing attended 9/3/99; classroom completed 11/12/01

Dan Klimas – AP-16.1Q – completed 11/16/01; AP-2.2Q – completed 11/19/01 – no adverse impact; completed previous training, including read and sign; oversight for all activities under purview of manager.

Betsy Kornegay – AP-16.1Q completed 11/19/01 – no adverse impact – no related work performed.

IP requirements not yet completed. Listed individuals have not performed work related to this procedure:

AP-3.15Q

James E. Clark

James George

Cynthia Humphries-Alder

A current copy of the BSC/QA Training Needs Report is also available.

ATTACHMENT 6

Connie White Yelder
01/29/2002 10:26 AM

TO
DR BSC-01-D-129
p 1 of 4

To: David Calloway/YM/RWDOE@CRWMS, Charles Sharrocks/YM/RWDOE@CRWMS, Robert
Stoner/YM/RWDOE@CRWMS, Steven Swenning/YM/RWDOE@CRWMS, Paul
Turner/YM/RWDOE@CRWMS

cc:

Subject: CIO Response for DR-129

QA:N/A Exclusionary

Attached is the initial response for the CIO organization in reference to DR-129. Please direct questions
to David Calloway at 5-5562.



DR-129.do

Thank you,
Connie

The following information contains the CIO organization's response to BSC-01-D-129. Listed below are the sections within the CIO that have employees performing quality affecting work and applicable answers the following questions:

1. Determine if training was required (I) or required prior to performing work (IP)
1. Inform the employee that "I" training is required and that "IP" training is required prior to performing work.
1. Determine if work was performed to these procedures.
1. Determine the impact of performing the work without the required training.
1. Document your assessment of the impact.

Geographic Information Systems

Erika Provost - LPTEC01-007 AP-SI.1Q Software Developer/User Training, LPTEC00-006 AP-5.1Q Plans & Procedures Process Control Training, LPTEC00-018 AP-6.1Q Controlled Document Submittals

Dolf Cardenas - LPTEC01-007 AP-SI.1Q Software Developer/User Training, LPTEC00-006 AP-5.1Q Plans & Procedures Process Control Training, LPTEC00-018 AP-6.1Q Controlled Document Submittals

Margaret Westcamp - LPTEC01-007 AP-SI.1Q Software Developer/User Training

Katherine Ho - LPTEC01-007 AP-SI.1Q Software Developer/User Training

Matthew Knop - LPTEC01-007 AP-SI.1Q Software Developer/User Training, LPTEC01-007 AP-SI.1Q Software Developer/User Training (Scheduled 1/24), LPTEC00-006 AP-5.1Q Plans & Procedures Process Control Training (Scheduled 2/5), LPTEC00-002 AP-16.1 Mgmt of Conditions Adverse to Quality (Scheduled 1/21), LPTEC00-018 AP-6.1Q Controlled Document Submittals (Completed)

1. Training is required prior to performing work (IP).
1. Employees were informed training is required prior to performing work.
1. Work was performed to procedures.
1. There was no impact to any Q work due to a lack of training.
1. Q work schedules will be adjusted so that training is complete prior to completion of the quality activities.

Site and Engineering Properties

Vincent Mattes

CC (Camille) Cook

1. Training is required prior to performing work (IP)
1. Employees were informed training is required prior to performing work
1. Work was performed to procedures.
1. There is no impact to any Q work at this time due to lack of training. These individuals will be taking training course LPTEC01-007 on 1/17/2002. Additionally, Vincent Mattes requires LPTEC01-006 (AP-SI.1Q SOFTWARE - MIDDLE MGMT. MODULE). At this time, there is no available training scheduled. This training will be completed as soon as it becomes available.
1. The path forward to mitigate lack of training in performing the work is to remove those individuals from further "Q" use of the software until LPTEC01-007 (AP-SI.1Q SOFTWARE - DEVELOPER/USER TRAINING) has been completed (01/17/02). Further, Vincent Mattes is to be suspended from AP-SI.1Q baseline completion activity until LPTEC01-006 (AP-SI.1Q SOFTWARE - MIDDLE MGMT. MODULE 1) is completed (TBA).

Data Liaison/Coordinators

Fifine Brightman

Cheryl Haeffele

Jennifer Mattes

1. Training is required prior to performing work (IP)
1. Employees were informed training is required prior to performing work
1. Work was performed to procedures. Employees are very familiar with their job responsibilities and the supervisor has spoken with each of them on the requirements of accepting, controlling, and maintaining electronic information. Similar electronic information handling requirements are included in other procedural training, which each employee is current on.

1. There was no impact to any Q work due to a lack of training.
1. Employees will complete LPTCE00-021, AP-SV.1Q, Control of the Electronic Management of Information prior to performing work.

Records Management

Sharon Harris-Womack

Charlene Vondriska

Detraka Calloway

Kathleen Steel

Lana Colehour

Gail McGuire

Dave Keller

Catherine Stettler

1. Training is required prior to performing work (IP)
1. Employees were informed training is required prior to performing work
1. No work performed to date
1. There is no impact to any Q work at this time due to lack of training
1. No impact as work has not been performed. Employee will complete LPTCE00-014, AP-2.20Q, Self-Assessments prior to performing work. Kathleen Steel is scheduled to take the class on 2/27/02.

Cyber Security

Jennifer Calovini-Goodwin

1. Training is required prior to performing work (IP)
1. Employee was informed training is required prior to performing work
1. No work performed to date
1. There is no impact to any Q work at this time due to lack of training
1. No impact as work has not been performed. Employee will complete LPTCE00-014, AP-2.20Q, Self-Assessments prior to performing work.

East Coast IT

Robert Stifel

1. Training is required prior to performing work (IP).
1. Employee was informed training is required prior to performing work
1. No work performed to date
1. There is no impact to any Q work at this time due to lack of training
1. No impact as work has not been performed. Employee will complete LPTCE00-014, AP-2.20Q, Self-Assessments prior to performing work.

Software Development & Maintenance

Virgil Rochester - LPTCE00-014, AP-2.20Q, Self Assessments

Carole Johnson - LPTCE01-0007, AP-SI.1Q, Software Developer/User Training

1. Training is required prior to performing work (IP).
1. Employees were informed training is required prior to performing work
1. Virgil - N/A, Carole - work performed to date has been performed according to the latest version of AP-SI.1Q.
1. There is no impact to any Q work at this time due to lack of training.
1. Virgil - no impact as no self-assessments have been performed to date. Employee will complete LPTCE00-014, AP-2.20Q, Self-Assessments prior to performing work. Carole - no impact as work performed has not been put into production. Employee will complete LPTCE01-0007, AP-SI.1Q, Software Developer/User Training prior to work being released.

IT Operations – Desktop Support

Gary Goldstein

Michael Maguire

Phyllis Hoffman

1. Training is required prior to performing work (IP).
1. Employees were informed training is required prior to performing work
1. Work performed to date has been performed according to the latest version of AP-SI.1Q.
1. There has been no impact to any Q work at this time due to lack of training.
1. Employees will complete LPTCE01-0007, AP-SI.1Q, Software Developer/User Training prior to continuing any q software installs.

ATTACHMENT TO 7

Dean Kunihiro 01/29/2002 07:51 AM

BSC-01-D-129 p 1 of 2

Work Safe America

To: Steven Swenning/YM/RWDOE@CRWMS
cc: James Whitcraft/YM/RWDOE@CRWMS, Terry Rathgeb/YM/RWDOE@CRWMS

Subject: Re: Response to BSC-01-D-129 Actions Requested

QA:QA Inclusionary

Steve, we have received and accessed direct responses from 171 individuals assigned to Engineering who were identified as having not taken specified training courses. Of this total, 125 individuals had not taken "IP" courses ("IP" courses are only required if performing related work). Of the 125, none performed work that would have required the training. The remaining individuals not taken "I" courses (courses required, regardless of specific work performed). However, regardless of the type training, i.e., "I" or "IP", all of the 171 respondents reported that the lack of training had no adverse impact on the quality of the work they performed. Based on the above, it is reasonable to conclude that there was no significant adverse impact to the quality of work performed due to training not taken, as reported in the November training status report. As a side note, since that report, much the required training has been completed.

Dean

Steven Swenning



Steven Swenning

01/11/2002 07:17 AM

To: Dean Kunihiro/YM/RWDOE@CRWMS
cc:

Subject: Response to BSC-01-D-129 Actions Requested

QA:N/A Exclusionary

template/ideas for your use...shs

----- Forwarded by Steven Swenning/YM/RWDOE on 01/11/2002 07:19 AM -----



Paul Turner

01/02/2002 02:14 PM

To: Steven Swenning/YM/RWDOE@CRWMS
cc: Pete Maxfield/YM/RWDOE@CRWMS, DeiDre Barney/YM/RWDOE@CRWMS, Melinda D'Ouille/YM/RWDOE@CRWMS, Eric Koppitsch/YM/RWDOE@CRWMS, Christine Drummond/YM/RWDOE@CRWMS, Barry Mellor/YM/RWDOE@CRWMS

Subject: Response to BSC-01-D-129 Actions Requested

QA:N/A Exclusionary

Subject: BSC-01-D-129 Actions Requested

Not A Federal Record

Steve,

I have obtained the following information from Pete Maxfield's direct reports and their associated organizations as requested in your attached e-mail. Using the training reports and the actions and questions as a guide, here are the results of survey within Pete Maxfield's organizations.

CFO - Six persons were not current with assigned QA related training programs. Two of the persons no longer work in the organization. The other four individuals have completed their assigned training. No QA

ATTACHMENT 7

TO BSC-01-D-129 p2.p2

related work was performed by any of these individuals, therefore no impact occurred.

HR / Training - One person was not current with assigned QA related training programs. She has completed her assigned training. No QA related work was performed by this individual, therefore no impact occurred.

ATSS - Thirty one persons were not current with assigned QA related training programs. Nine of the persons no longer work in the organization. Seven individuals training requirements matrixes were changed removing the training requirements. The other fifteen individuals have completed their assigned training. No QA work related to the training not taken was performed by any of these individuals, therefore no impact occurred.

This email should satisfy the request made by you in the following email. If you have any questions please call me.

Paul Turner

Forwarded by Pete Maxfield/YM/RWDOE on 11/08/2001 02:51 PM



Steven Swenning

11/08/2001 02:10 PM

To: Pete Maxfield/YM/RWDOE@CRWMS
cc: Don Pearman/YM/RWDOE@CRWMS

Subject: BSC-01-D-129 Actions Requested

QA:N/A Exclusionary

The purpose of this email is to inform you again about DR 129 and to request your assistance in completing the corrective actions. Training Reports for your functional organization are attached. These reports contain ONLY the quality-affecting activities that are identified in the deficiency. This list represents the extent of condition for your organization. It does not track other training requirements. The response to the deficiency is attached below.

1. Determine if training was required (I) or required prior to performing work (IP)
2. Inform the employee that "I" training is required and that "IP" training is required prior to performing work.
2. Determine if work was performed to these procedures.
3. Determine the impact of performing the work without the required training.
4. Document your assessment of the impact.

We have committed to close this deficiency in the next 90 days. Please schedule your impact assessment accordingly, and request that your employees schedule training as soon as possible. Your response by January 15, 2002 is requested. If you have any questions, please see the response below, or call Steve Swenning at 702-295-5184.

ATTACHMENT ⁸₁ TO BSC-01-D-129 p1 of 7



Larry Croft

01/15/2002 04:29 PM

To: Steven Swenning/YM/RWDOE@CRWMS
cc: Dennis Sorensen/YM/RWDOE@CRWMS, Jayne Davis/YM/RWDOE@CRWMS, Ed McCann/YM/RWDOE@CRWMS, Sid Dodd/YM/RWDOE@CRWMS, Lonnie Baldwin/YM/RWDOE@CRWMS, Jerri McCann/YM/RWDOE@CRWMS, Joanne Foster/YM/RWDOE@CRWMS, Lorraine Garcia/YM/RWDOE@CRWMS, Inez Bell/YM/RWDOE@CRWMS

Subject: Response and Impact Assessment for BSC-01-D-129 Requested Actions

QA:N/A Inclusionary

This is the ES&H response and impact assessment to your request that ES&H review training as of November 05, 2001 for ES&H. ES&H has completed the following actions:

1. Determined which training (as listed in the attachment from BSC Training) was required (I) or required prior to performing work (IP).
2. Informed employees that "I" training is required and that "IP" training is required prior to performing work.
3. Determined if work was performed to the procedures or processes.
4. Determined the impact of performing the work without the required training.
5. Documented ES&H's assessment of the impact to quality affecting activities.

Summary - ES&H determined that work conducted without required classroom training on the procedure or the process listed in an employees training matrix had no adverse impact on the products provided to the Project.

Attached is a detailed impact analysis for ES&H personnel compared to training assignments documented in the 11/5/01 training transcript provided. In those instances where work was performed prior to obtaining classroom training, ES&H determined that no adverse impacts to the Project resulted. The analysis provides justification why there were no adverse impacts to the Project.

If you have any questions on the impact analysis, please contact me. This completes ES&H action as requested for BSC-01-D-129.

     
129CLASS_DESC sorenson129.x baldwin129.x CROFT129. dodd129.xl MCCANN129.

----- Forwarded by Larry Croft/YM/RWDOE on 01/15/2002 01:26 PM -----



Jerri McCann

01/07/2002 11:59 AM

To: Larry Croft/YM/RWDOE@CRWMS, Robert Kimble/YM/RWDOE@CRWMS
cc:

Subject: BSC-01-D-129 Actions Requested

Not A Federal Record

Reminder, you are handling this for Dennis. Thanks.

ATTACHMENT B TO BSC-01-D-129
p20F7

Forwarded by Jerri McCann/YM/RWDOE on 01/07/2002 12:01 PM



Steven Swenning

01/07/2002 11:29 AM

To: Dennis Sorensen/YM/RWDOE@CRWMS
cc: Don Pearman/YM/RWDOE@CRWMS

Subject: BSC-01-D-129 Actions Requested

QA:N/A Exclusionary

No response has been received from your organization...just a reminder that your response is requested by January 15, 2002.

Forwarded by Steven Swenning/YM/RWDOE on 01/07/2002 11:31 AM



Steven Swenning

11/08/2001 02:14 PM

To: Dennis Sorensen/YM/RWDOE@CRWMS
cc: Don Pearman/YM/RWDOE@CRWMS

Subject: BSC-01-D-129 Actions Requested

QA:N/A Exclusionary

The purpose of this email is to inform you again about DR 129 and to request your assistance in completing the corrective actions. Training Reports for your functional organization are attached. These reports contain ONLY the quality-affecting activities that are identified in the deficiency. This list represents the extent of condition for your organization. It does not track other training requirements. The response to the deficiency is attached below.

1. Determine if training was required (I) or required prior to performing work (IP)
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4. Determine the impact of performing the work without the required training.
5. Document your assessment of the impact.

We have committed to close this deficiency in the next 90 days. Please schedule your impact assessment accordingly, and request that your employees schedule training as soon as possible. Your response by January 15, 2002 is requested. If you have any questions, please see the response below, or call Steve Swenning at 702-295-5184.



D129 initial amended submitted 11 DR 129 Sorensen

RESPONSE TO DR 129

TRAINING STATUS DATE: 11/05/01

WARNING STATUS DATE: 11/05/01									
MGR		STATUS: I=WITHIN 90 DAYS OF HIRE OR NEW ASSIGNMENT IP=INITIAL- PRIOR TO							
		LPTEC00-002	LPTEC00-006	LPTEC00-007	LPTEC00-012	LPTEC00-014	LPTEC00-020	LPTEC00-021	LPGET00-001
	D. SORENSEN								
(1)	STATUS		I				I		
(2)	WORK								
	PERFORMED TO THIS PROCEDURE ?		Yes				Yes		
(3)	IMPACT		None +				None +		
	J. DAVIS	NONE							
(1)	STATUS								
(2)	WORK								
	PERFORMED TO THIS PROCEDURE ?								
(3)	IMPACT								
	L. BALDWIN								
(1)	STATUS	I	I			I			
(2)	WORK								
	PERFORMED TO THIS PROCEDURE ?	No	Yes			Yes			
(3)	IMPACT	N/A	None *			None A			
	L. CROFT	NONE							
(1)	STATUS								
(2)	WORK								
	PERFORMED TO THIS PROCEDURE ?								
(3)	IMPACT								
	S. DODD								
(1)	STATUS	I				I			
(2)	WORK								
	PERFORMED TO THIS PROCEDURE ?	No				Yes			
(3)	IMPACT	N/A				None A			
	E. MC CANN								
(1)	STATUS	I							
(2)	WORK								
	PERFORMED TO THIS PROCEDURE?	No							
(3)	IMPACT	N/A							

ATTACHED TO BSC-01-D-129 p 3 of 7

π

28

ATTACHMENT B TO BSC-01-D-129

PSFZ

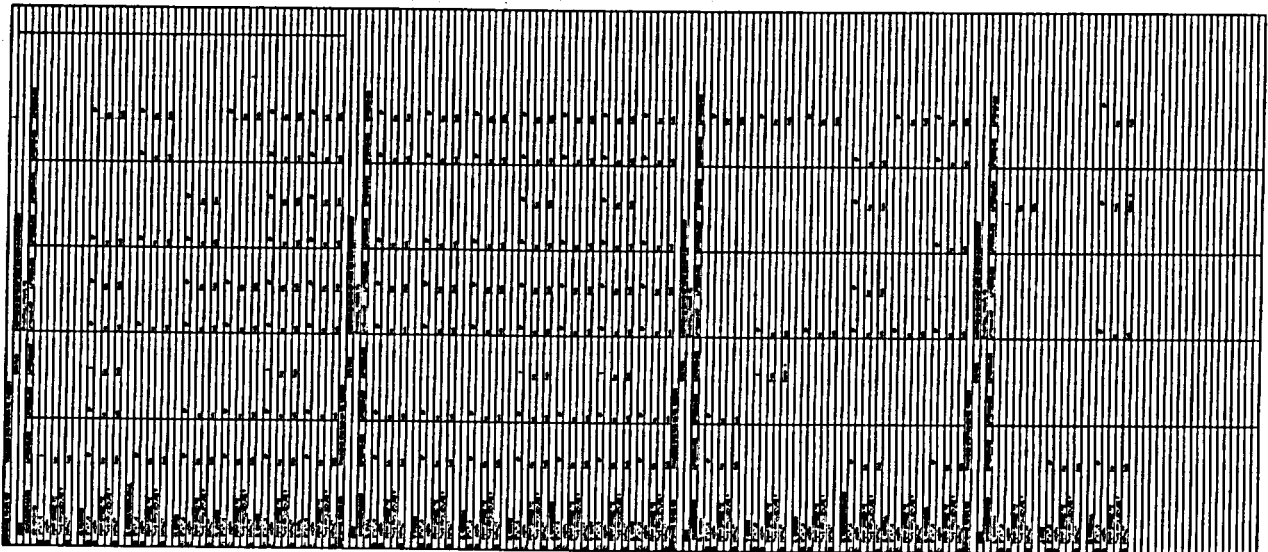
Section 1: General Information												Section 2: Financial Data												Section 3: Operational Metrics											
Project Details				Team & Roles				Timeline & Status				Budget & Costs				Revenue & Profit				Production & Quality				Logistics & Inventory				Customer & Sales							
ID	Name	Status	Category	Manager	Team Lead	Members	Start Date	End Date	Progress %	On Track	Issues	Budget	Actual	Variance	Revenue	Cost	Profit	Units	Defects	Shipped	Stock	Rating	Feedback	Score	Churn										
1	Project Alpha	Active	Software	John Doe	Jane Smith	5	2023-01-01	2023-06-30	75%	Yes	2	\$100k	\$95k	\$5k	\$200k	\$180k	\$20k	1000	10	500	100	4.5	90%	8.5	5%										
2	Project Beta	Completed	Hardware	Mike Johnson	Sarah Lee	3	2023-02-15	2023-05-15	100%	Yes	0	\$80k	\$82k	-\$2k	\$150k	\$140k	\$10k	800	5	400	80	4.2	85%	8.0	8%										
3	Project Gamma	On Hold	Cloud	David Kim	Emily White	4	2023-03-01	2023-09-30	30%	No	5	\$120k	\$110k	\$10k	\$180k	\$160k	\$20k	900	15	300	90	4.0	75%	7.8	10%										
4	Project Delta	Active	Mobile	Chris Brown	Alex Green	6	2023-04-01	2023-10-31	60%	Yes	1	\$90k	\$88k	\$2k	\$160k	\$150k	\$10k	700	8	350	70	4.3	88%	8.2	6%										
5	Project Epsilon	Active	IoT	Mia Black	Noah Grey	4	2023-05-01	2023-11-30	40%	Yes	3	\$110k	\$105k	\$5k	\$170k	\$160k	\$10k	600	12	250	60	4.1	80%	7.9	7%										
6	Project Zeta	Active	AI/ML	Olivia Blue	Liam Red	7	2023-06-01	2024-01-31	20%	Yes	4	\$130k	\$120k	\$10k	\$190k	\$170k	\$20k	500	20	150	50	4.4	92%	8.7	4%										
7	Project Eta	Active	Blockchain	Ethan Yellow	Sophia Pink	5	2023-07-01	2024-02-28	10%	No	6	\$140k	\$135k	\$5k	\$210k	\$190k	\$20k	400	25	100	40	4.6	95%	9.0	3%										
8	Project Theta	Active	Quantum	Lucas Orange	Isabella Silver	3	2023-08-01	2024-03-31	5%	No	7	\$150k	\$140k	\$10k	\$220k	\$200k	\$20k	300	30	50	30	4.7	98%	9.2	2%										
9	Project Iota	Active	Space Tech	Mason Gold	Amelia Copper	4	2023-09-01	2024-04-30	0%	No	8	\$160k	\$150k	\$10k	\$230k	\$210k	\$20k	200	35	20	20	4.8	100%	9.5	1%										
10	Project Kappa	Active	Deep Learning	William Iron	Abigail Zinc	6	2023-10-01	2024-05-31	0%	No	9	\$170k	\$160k	\$10k	\$240k	\$220k	\$20k	100	40	10	10	4.9	100%	9.8	0%										
11	Project Lambda	Active	Autonomous	Robert Silver	Madison Bronze	5	2023-11-01	2024-06-30	0%	No	10	\$180k	\$170k	\$10k	\$250k	\$230k	\$20k	50	45	5	5	5.0	100%	10.0	0%										
12	Project Mu	Active	Biotech	Christopher Bronze	Chloe Platinum	4	2023-12-01	2024-07-31	0%	No	11	\$190k	\$180k	\$10k	\$260k	\$240k	\$20k	20	50	2	2	5.0	100%	10.0	0%										
13	Project Nu	Active	Neuroscience	Matthew Copper	Grace Iron	3	2024-01-01	2024-08-31	0%	No	12	\$200k	\$190k	\$10k	\$270k	\$250k	\$20k	10	55	1	1	5.0	100%	10.0	0%										
14	Project Xi	Active	Genetics	Isaac Zinc	Skylar Silver	2	2024-02-01	2024-09-30	0%	No	13	\$210k	\$200k	\$10k	\$280k	\$260k	\$20k	5	60	0	0	5.0	100%	10.0	0%										
15	Project Omicron	Active	Immunology	Robert Gold	Madison Bronze	1	2024-03-01	2024-10-31	0%	No	14	\$220k	\$210k	\$10k	\$290k	\$270k	\$20k	2	65	0	0	5.0	100%	10.0	0%										
16	Project Pi	Active	Plant Biology	Christopher Bronze	Chloe Platinum	0	2024-04-01	2024-11-30	0%	No	15	\$230k	\$220k	\$10k	\$300k	\$280k	\$20k	1	70	0	0	5.0	100%	10.0	0%										
17	Project Rho	Active	Animal Biology	Matthew Copper	Grace Iron	0	2024-05-01	2025-01-31	0%	No	16	\$240k	\$230k	\$10k	\$310k	\$290k	\$20k	0	75	0	0	5.0	100%	10.0	0%										
18	Project Sigma	Active	Ecology	Isaac Zinc	Skylar Silver	0	2024-06-01	2025-02-28	0%	No	17	\$250k	\$240k	\$10k	\$320k	\$300k	\$20k	0	80	0	0	5.0	100%	10.0	0%										
19	Project Tau	Active	Evolution	Robert Gold	Madison Bronze	0	2024-07-01	2025-03-31	0%	No	18	\$260k	\$250k	\$10k	\$330k	\$310k	\$20k	0	85	0	0	5.0	100%	10.0	0%										
20	Project Upsilon	Active	Anthropology	Christopher Bronze	Chloe Platinum	0	2024-08-01	2025-04-30	0%	No	19	\$270k	\$260k	\$10k	\$340k	\$320k	\$20k	0	90	0	0	5.0	100%	10.0	0%										
21	Project Phi	Active	Archaeology	Matthew Copper	Grace Iron	0	2024-09-01	2025-05-31	0%	No	20	\$280k	\$270k	\$10k	\$350k	\$330k	\$20k	0	95	0	0	5.0	100%	10.0	0%										
22	Project Chi	Active	History	Isaac Zinc	Skylar Silver	0	2024-10-01	2025-06-30	0%	No	21	\$290k	\$280k	\$10k	\$360k	\$340k	\$20k	0	100	0	0	5.0	100%	10.0	0%										
23	Project Psi	Active	Geography	Robert Gold	Madison Bronze	0	2024-11-01	2025-07-31	0%	No	22	\$300k	\$290k	\$10k	\$370k	\$350k	\$20k	0	105	0	0	5.0	100%	10.0	0%										
24	Project Omega	Active	Political Science	Christopher Bronze	Chloe Platinum	0	2024-12-01	2025-08-31	0%	No	23	\$310k	\$300k	\$10k	\$380k	\$360k	\$20k	0	110	0	0	5.0	100%	10.0	0%										
25	Project A	Active	Sociology	Matthew Copper	Grace Iron	0	2025-01-01	2025-09-30	0%	No	24	\$320k	\$310k	\$10k	\$390k	\$370k	\$20k	0	115	0	0	5.0	100%	10.0	0%										
26	Project B	Active	Psychology	Isaac Zinc	Skylar Silver	0	2025-02-01	2025-10-31	0%	No	25	\$330k	\$320k	\$10k	\$400k	\$380k	\$20k	0	120	0	0	5.0	100%	10.0	0%										
27	Project C	Active	Education	Robert Gold	Madison Bronze	0	2025-03-01	2025-11-30	0%	No	26	\$340k	\$330k	\$10k	\$410k	\$390k	\$20k	0	125	0	0	5.0	100%	10.0	0%										
28	Project D	Active	Law	Christopher Bronze	Chloe Platinum	0	2025-04-01	2025-12-31	0%	No	27	\$350k	\$340k	\$10k	\$420k	\$400k	\$20k	0	130	0	0	5.0	100%	10.0	0%										
29	Project E	Active	Business	Matthew Copper	Grace Iron	0	2025-05-01	2026-01-31	0%	No	28	\$360k	\$350k	\$10k	\$430k	\$410k	\$20k	0	135	0	0	5.0	100%	10.0	0%										
30	Project F	Active	Engineering	Isaac Zinc	Skylar Silver	0	2025-06-01	2026-02-28	0%	No	29	\$370k	\$360k	\$10k	\$440k	\$420k	\$20k	0	140	0	0	5.0	100%	10.0	0%										
31	Project G	Active	Computer Science	Robert Gold	Madison Bronze	0	2025-07-01	2026-03-31	0%	No	30	\$380k	\$370k	\$10k	\$450k	\$430k	\$20k	0	145	0	0	5.0	100%	10.0	0%										
32	Project H	Active	Mathematics	Christopher Bronze	Chloe Platinum	0	2025-08-01	2026-04-30	0%	No	31	\$390k	\$380k	\$10k	\$460k	\$440k	\$20k	0	150	0	0	5.0	100%	10.0	0%										
33	Project I	Active	Physics	Matthew Copper	Grace Iron	0	2025-09-01	2026-05-31	0%	No	32	\$400k	\$390k	\$10k	\$470k	\$450k	\$20k	0	155	0	0	5.0	100%	10.0	0%										
34	Project J	Active	Chemistry	Isaac Zinc	Skylar Silver	0	2025-10-01	2026-06-30	0%	No	33	\$410k	\$400k	\$10k	\$480k	\$460k	\$20k	0	160	0	0	5.0	100%	10.0	0%										
35	Project K	Active	Biology	Robert Gold	Madison Bronze	0	2025-11-01	2026-07-31	0%	No	34	\$420k	\$410k	\$10k	\$490k	\$470k	\$20k	0	165	0	0	5.0	100%	10.0	0%										
36	Project L	Active	Medicine	Christopher Bronze	Chloe Platinum	0	2025-12-01	2026-08-31	0%	No	35	\$430k	\$420k	\$10k	\$500k	\$480k	\$20k	0	170	0	0	5.0	100%	10.0	0%										
37	Project M	Active	Dentistry	Matthew Copper	Grace Iron	0	2026-01-01	2026-09-30	0%	No	36	\$440k	\$430k	\$10k	\$510k	\$490k	\$20k	0	175	0	0	5.0	100%	10.0	0%										
38	Project N	Active	Veterinary	Isaac Zinc	Skylar Silver	0	2026-02-01	2026-10-31	0%	No	37	\$450k	\$440k	\$10k	\$520k	\$500k	\$20k	0	180	0	0	5.0	100%	10.0	0%										
39	Project O	Active	Pharmacy	Robert Gold	Madison Bronze	0	2026-03-01	2026-11-30	0%	No	38	\$460k	\$450k	\$10k	\$530k	\$510k	\$20k	0	185	0	0	5.0	100%	10.0	0%										
40	Project P	Active	Healthcare	Christopher Bronze	Chloe Platinum	0	2026-04-01	2026-12-31	0%	No	39	\$470k	\$460k	\$10k	\$540k	\$520k	\$20k	0	190	0	0	5.0	100%	10.0	0%										
41	Project Q	Active	Food Science	Matthew Copper	Grace Iron	0	2026-05-01	2027-01-31	0%	No	40	\$480k	\$470k	\$10k	\$550k	\$530k	\$20k	0	195	0	0	5.0	100%	10.0	0%										
42	Project R	Active	Textiles	Isaac Zinc	Skylar Silver	0	2026-06-01	2027-02-28	0%	No	41	\$490k	\$480k	\$10k	\$560k	\$540k	\$20k	0	200	0	0	5.0	100%	10.0	0%										
43	Project S	Active	Automotive	Robert Gold	Madison Bronze	0	2026-07-01	2027-03-31	0%	No	42	\$500k	\$490k	\$10k	\$570k	\$550k	\$20k	0	205	0	0	5.0	100%	10.0	0%										
44	Project T	Active	Aerospace	Christopher Bronze	Chloe Platinum	0	2026-08-01	2027-04-30	0%	No	43	\$510k	\$500k	\$10k	\$580k	\$560k	\$20k	0	210	0	0	5.0	100%	10.0	0%										
45	Project U	Active	Marine	Matthew Copper	Grace Iron	0	2026-09-01	2027-05-31	0%	No	44	\$520k	\$510k	\$10k	\$590k	\$570k	\$20k	0	215	0	0	5.0	100%	10.0	0%										
46	Project V	Active	Aviation	Isaac Zinc	Skylar Silver	0	2026-10-01	2027-06-30	0%	No	45	\$530k	\$520k	\$10k	\$600k	\$580k	\$20k	0	220	0	0	5.0	100%	10.0	0%										
47	Project W	Active	Space Exploration	Robert Gold	Madison Bronze	0	2026-11-01	2027-07-31	0%	No	46	\$540k	\$530k	\$10k	\$610k	\$590k	\$20k	0	225	0	0	5.0	100%	10.0	0%										
48	Project X	Active	Robotics	Christopher Bronze	Chloe Platinum	0	2026-12-01	2027-08-31	0%	No	47	\$550k	\$540k	\$10k	\$620k	\$600k	\$20k	0	230	0	0	5.0	100%	10.0	0%										
49	Project Y	Active	Artificial Intelligence	Matthew Copper	Grace Iron	0	2027-01-01	2027-09-30	0%	No	48	\$560k	\$550k	\$10k	\$630k	\$610k	\$20k	0	235	0	0	5.0	100%	10.0	0%										
50	Project Z	Active	Machine Learning	Isaac Zinc	Skylar Silver	0	2027-02-01	2027-10-31	0%	No	49	\$570k	\$560k	\$10k	\$640k	\$620k	\$20k	0	240	0	0	5.0	100%	10.0	0%										

RESPONSE TO DR 129		TRAINING STATUS DATE: 11/06/01							
		STATUS: I=WITHIN 90 DAYS OF HIRE OR NEW ASSIGNMENT							
		IP=INITIAL- PRIOR TO							
MGR	LPTEC00-002	LPTEC00-005	LPTEC00-007	LPTEC00-009	LPTEC00-013	LPTEC00-014	LPTEC00-020	LPTEC00-021	
SID DODD									
1) STATUS	I					I			
2) WORK									
PERFORMED TO	No					Yes			
THIS PROCEDURE ?									
3) IMPACT	N/A					None A			
W. ANDERSON									
1) STATUS	IP	IP	IP	IP	IP	IP	IP	IP	
2) WORK									
PERFORMED	No	No	No	No	No	No	No	No	
TO PROCED?									
3) IMPACT	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
R. BLAKELY									
1) STATUS	IP	IP		IP	IP	IP			
2) WORK									
PERFORMED TO	No	No		No	No	No			
THIS PROCEDURE ?									
3) IMPACT	N/A	N/A		N/A	N/A	N/A			
S. BOURCIER	NONE								
R. THOMPSON									
1) STATUS	IP	IP	IP	IP	IP	IP			
2) WORK									
PERFORMED TO	No	No	No	No	No	Yes			
THIS PROCEDURE ?									
3) IMPACT	N/A	N/A	N/A	N/A	N/A	None A			

ATTACHED BTB BSC-01-D-179 p 6 of 7

ATTACHMENT E TO

BSC-01-0-129 p 70 F7



ATTACHMENT 9 TO BSC-01-D-129
p10f2



James Stephens

01/14/2002 03:11 PM

To: Steven Swenning/YM/RWDOE@CRWMS
cc: Darell von der Linden/YM/RWDOE@CRWMS, Jeffrey Smith/YM/RWDOE@CRWMS, Dawn Perry/YM/RWDOE@CRWMS, Robert Henderson/YM/RWDOE@CRWMS, Thom Morse/YM/RWDOE@CRWMS

Subject: BSC-01-D-129

QA:N/A Exclusionary

Steve,

This lotus note is being sent on behalf of Darell von der Linden and the Procurement Department and is in response to your Lotus Note dated 11/08/2001, requesting assistance in closing out DR BSC-01-D-129. All personnel who were identified as needing mandatory training have completed that training. The following is a breakdown of personnel and courses:

COURSE CODE & TITLE COMPLETED	NAME
LPTEC00-012, Creation, Completed	Morse, T.
Maintenance, Use & Completed	Smith, J.
Disposition of OCRWM Completed	McCann, L
Records Completed	Calabrese, C.
Completed	Eldred, M.
Completed	McGoldrick, J.
Completed	Cleveland, M.
Completed	Perry, D.
Completed	Lewis, T.
Completed	Beach, K.
Completed	Armstrong, L.
Completed	von der Linden, D.
LPTE00-001, Program Overview Completed	Cleveland, M.
Completed	Beach, K.

ATTACHMENT 9 TO BSC-01-D-129
p2.F2

LPTET00-013, Introduction To
Completed
Quality Assurance
Enrolled For Class Scheduled

Cleveland, M.
Smith, J.

On

01/15/2002

Within the Procurement Department , there were no quality impacts, nor were there any conditions adverse to quality which resulted from the training deficiencies identified in DR BSC-01-D-129. It is this Department's assessment, that even though those personnel identified above were not in strict compliance with completing the training within 90 days, there were no corresponding quality impacts.

All direct reports to Darell von der Linden have been given training on the TrainServe database and have established individual accounts so that they can monitor the training status of their employees. Mr. von der Linden conducts a staff meeting with his direct reports every other week and reviews with them the Training Needs Reports for the following departments; 1) Materials Management & Operations; 2) Procurement and Property; 3) Procurement / Property Compliance; 4) Subcontractor Technical Representatives (STR); 5) Supply Chain. The actions taken to train procurement managers in the TrainServe database , the creation of individual TrainServe accounts for these managers, and the increased management attention applied to this area in formal bi-monthly staff meetings will help preclude recurrence of these deficiencies.

If you have any questions, you may reach me at 5-4845.

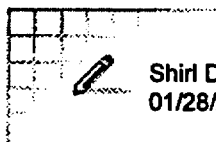
Regards,

Jim Stephens

ATTACHMENT 10

TO BSC-01-D-129

pl. FZ



Shirl Derby
01/28/2002 10:21 AM

To: Steven Swenning/YM/RWDOE@CRWMS
cc: Ken Beall/YM/RWDOE@CRWMS

Subject: BSC-01-D-129

QA:N/A Exclusionary

Per your 1-7-02 e-mail request, Projects response for BSC-01-D-129 is attached.

Call if you have ?s

Thanks!!

Shirl
X5-4002



DR 129 Impact.

Subject: Status of training for personnel/classes cited as "Not Taken" in the
Manager of Projects Employee Statue Training Report for November/2001.

The following two classes are categorized as I.

Creation, Maint., Use & Disp. of OCRWM Records (CBT)	[LPTEC00-012]
Program Overview	[LPGET00-001]

All employees cited in the subject report have completed the training. Delayed training did not impact work activities performed prior to completion of the training.

The following class is categorized as IP.

Introduction to Quality Assurance	[LPGET00-013]
-----------------------------------	---------------

The employee cited in the subject report did not perform any work that was impacted by the lack of this training. The training was completed on November 20, 2001.

The following class is categorized as I.

AP-16.1Q, Management of Conditions Adverse to Quality	[LPTEC00-002]
---	---------------

The employee cited in the subject report has completed the training. Delayed training did not impact work activities performed prior to completion of the training.

The following classes are either not required or categorized as IP.

AP-3.10Q, Analyses and Models	[LPTEC00-013]
AP-SIII.1Q, Control & Use of Scientific Notebooks	[LPTEC00-022]
AP-3.11Q, Technical Reports	[LPTEC00-009]
AP-2.20Q, Self-Assessments	[LPTEC00-014]

Work performed by the employees cited in the subject report was not impacted by the lack of the training.

The training requirements cited in the subject report for Robert Howard were incorrect. The TrainServe has been corrected to reflect the correct training requirements. Based on the corrected training requirements, all required training applicable to quality-affecting activities has been completed.

Fred N. Zinkevich is assigned to Engineering Organization.

- I Within 90 days of Initial Hire or New Assignment (if not previously taken).
- IP Initial - Prior to performing specific work activities

ATTACHMENT TO 11

BSC-01-D-129 p 1 of 3

To: Bo Bodvarsson/YM/RWDOE@CRWMS

cc: Don Pearman/YM/RWDOE@CRWMS, Michael Voegelé/YM/RWDOE@CRWMS

Subject: BSC-01-D-129 Actions Requested

QA:N/A Exclusionary

The purpose of this email is to inform you again about DR 129 and to request your assistance in completing the corrective actions. Training Reports for your functional organization are attached. These reports contain ONLY the quality-affecting activities that are identified in the deficiency. This list represents the extent of condition for your organization. It does not track other training requirements. The response to the deficiency is attached below.

1. Determine if training was required (I) or required prior to performing work (IP)
2. Inform the employee that "I" training is required and that "IP" training is required prior to performing work.
2. Determine if work was performed to these procedures.
3. Determine the impact of performing the work without the required training.
4. Document your assessment of the impact.

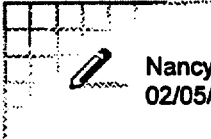
We have committed to close this deficiency in the next 90 days. Please schedule your impact assessment accordingly, and request that your employees schedule training as soon as possible. Your response by January 15, 2002 is requested. If you have any questions, please see the response below, or call Steve Swenning at 702-295-5184.



D129 initial amended submitted 11 DR 129 LBNL.

ATTACHMENT II TO

BSC-01-D-129 p 2 of 3



Nancy Aden-Gleason
02/05/2002 02:13 PM



To: Steven Swenning/YM/RWDOE@CRWMS
cc: Bo Bodvarsson/YM/RWDOE@CRWMS, Yvonne Tsang/YM/RWDOE@CRWMS, Jim Houseworth/YM/RWDOE@CRWMS, Joe Wang/YM/RWDOE@CRWMS, Marlene Cuzner/YM/RWDOE@CRWMS

Subject: LBNL Extent of Condition to BSC-01-D-129

QA:QA Inclusionary

We have reviewed the LBNL Training Status Report and your associated questions (reference Swenning e-mail to Bodvarsson dated 11/08/01 below), The Science (CSO) Training Requirements Matrix, Training Needs Reports, and LBNL training records. The following is a summary of results related to the Training Status Report associated with this DR-129:

- Total employees listed 42
- Total individuals who are not on project 28
- Total individuals who have since completed required training 13
As noted above, thirteen individuals on the Training Status Report had not had training completed at the time the Training Status Report was generated, but have since received training. An impact evaluation on quality has been performed as follows:
 - Eight individuals had not taken *Creation, Maintenance, Use and Disposal of Records*. As the records requirements described in applicable APs were followed, it has been determined that there is no impact to quality as related to this project.
 - Three individuals had not taken the AP-3.10Q, *Analyses and Models*. In the case of two individuals, they were not lead authors on any AMR, and as such it has been determined that there is no impact to quality as related to this project. In the case of one individual, he had attended PVAR training (which included AP-3.10Q and interrelating procedures) prior to his involvement as an AMR lead author. Also all AMR processes were closely monitored by key EA staff assigned responsibility for all aspects of the report. As such it has been determined that there is no impact to quality as related to this project.
 - One individual had not taken AP-SIII.1Q, *Scientific Notebooks*. This individual did have read/sign training to the LBNL scientific notebook procedure in 1997 (when this type of training was deemed acceptable). As scientific notebooks are closely tracked by an EA staff member, as notebooks are scrutinized for SN requirements during the technical and compliance review process, and as this individuals notebooks underwent this process, it has been determined that there is no impact to quality as related to this project.
 - Two individuals had not taken AP-16.1Q, *Management of Conditions Adverse to Quality*. In one case, the individual was not assigned as the Responsible Manager for DRs prior to the time he was trained, thus it has been determined that there is not impact to quality as related to this project. In the other case the individual was assigned as the Responsible Manager for two DR responses. As the DR responses were coordinated with BSC QA, and as the responses were accepted/closed-out by OQA, it has been determined that there is no impact to quality as related to this project.
 - One individual had not taken AP-2.21Q, *Quality Determinations and Planning for Scientific Engineering and Regulatory Compliance Activities*. As Rev0, ICN0 of this procedure was not in effect until 8/1/00 and this individual received training the following month (9/6/00), and as no planning

ATTACHMENT¹¹ TO BSC-01-D-129 p3 of 3

documents were generated by this individual prior to his training, it has been determined that there is no impact to quality as related to this project. It should be noted that the TrainServe database is in error. The database simultaneously shows this individual as having acquired this training in 9/00, and needing the training on the 11/01 Needs Report.

- Training records indicate that one individual did not receive training to AP-3.11Q, *Technical Reports*. Although this individual was not a lead author on a PMR, he did serve as Checker to various PMRs generated within the M&O. This individual remembers having had Process Validation and Re-engineering (PVAR) training when it was initially provided in 1999 (which included AP-3.11Q), and additionally AP-3.11Q training when it was provided in Las Vegas. However, the TrainServe database does not give him credit for either of these training sessions. This individual also received Checker training on 7/7/99 which he received credit for. As this individual received checker and PVAR training, and as the Project Checking Group oversaw the checking process within the M&O at that time, and as there were other individuals who reviewed and oversaw that PMR procedures were followed, it has been determined that there is no impact to quality as related to this project.

• **Total who still need to complete training**

1

As noted above, one individual on the Training Status Report has not completed the current AP-SI.1Q, software user/developer training. This training is currently being scheduled by our Training Coordinator in coordination with the BSC Training Department. It should be noted that this individual received LBNL briefing training to previous revisions of this procedure (on 1/18/00, 2/25/00, and 8/18/00). This individual has not been a developer of Level 1, 2 or 3 codes, but has used software to support two AMRs and the SSPA. Upon review, it has been determined that, in all cases, qualified codes obtained from the SCM were used, this individual is listed on associated Software User Requests, and required user documentation has been provided in the technical products. As such it has been determined that there is no impact to quality as related to this project.

----- Forwarded by Nancy Aden-Gleason/YM/RWDOE on 02/04/2002 02:36 PM -----



Steven Swenning

01/29/2002 04:14 PM

To: Nancy Aden-Gleason/YM/RWDOE@CRWMS, Marlene Cuzner/YM/RWDOE@CRWMS
cc:

Subject: BSC-01-D-129 Actions Requested

QA:N/A Exclusionary

Per our phone conversation today...also sent a response from Business management that you may want to use as a template...shs

----- Forwarded by Steven Swenning/YM/RWDOE on 01/29/2002 04:15 PM -----



Steven Swenning

01/07/2002 11:25 AM

To: Bo Bodvarsson/YM/RWDOE@CRWMS
cc: Don Pearman/YM/RWDOE@CRWMS, Michael Voegele/YM/RWDOE@CRWMS

Subject: BSC-01-D-129 Actions Requested

QA:N/A Exclusionary

No response has been received from your organization...just a reminder that your response is requested by January 15, 2002.

----- Forwarded by Steven Swenning/YM/RWDOE on 01/07/2002 11:27 AM -----



Steven Swenning

11/08/2001 02:07 PM

ATTACHMENT 12 TO BSC-01-D-129
P1.F5



"Archuleta, Jose A" <jaarchu@sandia.gov> on 01/23/2002 01:32:50 PM

To: ""Steven_Swenning@ymp.gov"" <Steven_Swenning@ymp.gov>
cc: ""Andrew_Orrell@ymp.gov"" <Andrew_Orrell@ymp.gov>, ""Michael_Voegele@ymp.gov""
<Michael_Voegele@ymp.gov>

Subject: Re: Response to BSC-01-D-129



Federal Record Status Not Determined

Steve

Sorry it's taken me so long to get this to you, but here is the SNL response to the training deficiencies identified in the subject DR. Please call me if you have any questions or if you need the signed "original".

<<D-01-129 Response.doc>>

<<D-01-129 Attach A.doc>>

<<DR 129 SNL.xls>>

Jose A. Archuleta
YMP Compliance Lead
505-284-6561
505-284-4002 (fax)



- D-01-129 Response.doc



- D-01-129 Attach A.doc



- DR 129 SNL.xls



Operated for the U.S. Department of Energy by
Sandia Corporation

P.O. Box 5800
Albuquerque, NM 87185-0778

QA : QA

January 22, 2002

Steven Swenning
1180 Town Center Dr., Summerlin
Las Vegas, Nevada 88144

Subject: Response to BSC-01-D-129 from SNL

Dear Steve:

This memo serves as SNL's response to BSC-01-D-129. I performed an Impact Assessment (Attachment A) of the list of SNL employees that were identified in the DR 129 SNL.xls (Attachment B) spreadsheet that was part of your electronic message dated 11/08/01. The result of the assessment is that there is no impact to quality due to deficient training identified in BSC-01-D-129.

The following steps were used to complete the Impact Assessment:

1. For each individual, determined what training was identified as "Not Taken"
2. Determined if training was required (I) or required prior to performing work (IP)
3. Determined if work had been performed to the associated procedure
4. Determined and documented the impact of performing work without required training
5. Reviewed the BSC Training Server to determine the individual's current training status

Also, notification of training requirements based on the CSO Matrix had been distributed to each SNL employee supporting the YMP, including those people listed in the DR 129 SNL.xls spreadsheet. We will continue to monitor training for each SNL employee to ensure that they complete their required training.

If you require additional information, please call me at (505) 284-6561.

Sincerely,

(Original signed by J. A. Archuleta)

Jose A. Archuleta
SNL EA Lead

Attachments A and B

Cc:

MS0443 Andrew Orrell
MS0778 Jose Archuleta
MS0778 Kathy Shears
NWMP Records Center

SNL

Impact Assessment Attachment A
Response to BSC-01-D-129, Jose A. Archuleta, SNL EA Lead

January 21, 2002
Page 1 of 3

Name	Training	I/IP	Has training been completed or scheduled?	Impact of performing work without completion of required training.
Stockman, Harlan	LPTEC00-012	I	Completed on 11-15-01	No impact: Harlan has dispositioned all records as per AP-17.1Q
Stockman, Christine	LPTEC01-003	I	Completed training on AP-2.21Q Rev. 1 on 12-10-01	No Impact: Christine completed training on previous revision of AP-2.21Q on 9-18-00.
Altman, Susan	LPTEC00-012	I	Completed on 1-15-02	Susan has been assigned to the YMP, but has not performed 'Q' work or submitted QA records to the RPC.
Ballard, Sanford	LPTEC00-012 LPTEC00-013	I I	Not Applicable	No impact: Sanford has not supported YMP activities since 6/01. Will be archived from YMP.
Gaither, Kathy	LPTEC00-012	I	Completed on 12-21-01	No impact: Kathy has dispositioned all records as per AP-17.1Q
MacKinnon, Robert	LPTEC00-002 LPTEC01-003	I I	Completed on 12-1-01. Scheduled to complete on 1-29-02	No Impact: Bob has not dispositioned any DRs or CARs No Impact: Bob planned FY02 EBS work activities as per the BSC FY2002-2004 Detailed Work Plan Systems Guidance (6/01)
Orrell, Andrew	LPTEC01-003	I	Will schedule to complete in LV	No Impact: Andrew planned FY02 SNL work activities as per the BSC FY2002-2004 Detailed Work Plan Systems Guidance (6/01)
Sobolik, Steven	LPTEC00-012	I	Completed on 1-15-02	No impact: Steve has dispositioned all records as per AP-17.1Q
Swift, Peter	LPTEC01-003	I	Scheduled to complete on 1-29-02	No Impact: Peter planned FY02 PA work activities as per the BSC FY2002-2004 Detailed Work Plan Systems Guidance (6/01)
Leigh, Christi	LPTEC00-012	I	Not Applicable	No impact: Christi has not supported YMP activities since 6/01. Will be archived from YMP.
Howard, Cliff	LPTEC01-003	I	Will schedule to complete in LV	No Impact: Cliff planned FY02 Testing activities as per the BSC FY2002-2004 Detailed Work Plan Systems Guidance (6/01)
Brown, Theresa	LPTEC00-013	I	Not Applicable	No impact: Theresa has not supported YMP activities since 10-1-00. Has been archived from YMP.
Sanchez, Alexander	LPTEC00-012	I	Completed on 12-06-01.	No impact: Alex has dispositioned all records as per AP-17.1Q
Jones, Robert	LPTEC01-003	I	Completed on 12-10-01	No Impact: Bob completed training on previous revision of AP-2.21Q on 9-13-00 and planned FY02 work activities as per the BSC FY2002-2004 Detailed Work Plan Systems Guidance (6/01)
Shin, Julie	LPTEC00-013	I	Completed on 11-27-01	No impact: Julie is a student and does not perform 'Q' work

ATTACHMENT 12
BSC-01-D-129
P3065

Name	Training	I/IP	Work performed to procedure?	Impact of performing work without completion of required training:
Lee, Kathleen	LPTEC00-012 LPGET00-013	I I	Completed on 1-15-02 Completed on 11-27-01	No impact: Kathy is a SNL librarian and does not perform 'Q' work.
Williams, Cecelia	LPTEC00-012	I	Not Applicable	No impact: Cecelia has not supported the YMP since 3/01. Has been archived from the YMP.
Boryta, Jenny	LPTEC00-012	I	Not Applicable	No impact: Jenny has not supported the YMP since 3/01. Will be archived from the YMP.
Cochran, John	LPTEC00-005 LPTEC00-012	I I	Needs to schedule. Completed on 11-20-01	No impact: John has not performed checker activities. No impact: John was recently assigned to the YMP, is performing 'Q' work, but has not generated any QA records
Carpenter, Will	LPGET00-001 LPGET00-013 LPTEC00-012	I I I	Not Applicable	No impact: Will is SNL CSU support and does not perform 'Q' work. Name has been removed from Train Serve by Training Org.
Wells, Veronica	LPGET00-001 LPGET00-013 LPTEC00-012	I I I	Not Applicable	No impact: Veronica is SNL CSU support and does not perform 'Q' work. Name has been removed from Train Serve by Training Org.
Jove-Colon, Carlos	LPTEC00-012	I	Completed on 11-16-01	No impact: Carlos was recently assigned to the YMP, is performing 'Q' work, but has not generated any QA records.
Yarrington, Lane	LPGET00-001 LPGET00-013 LPTEC00-012	I I I	Not Applicable	No impact: Lane has not supported YMP activities since 2/01. Will be archived from YMP.
Rollstin, Judith	LPTEC00-012	I	Completed on 11-19-01	No impact: Judy was recently assigned to the YMP as Software support and has not submitted any QA records.
Tibbets, Tiffany	LPGET00-001 LPGET00-013 LPTEC00-012	I I I	Will schedule to complete.	No impact: Tiffany is a student and does not perform 'Q' work
Jensen, Richard	LPTEC00-012	I	Completed on 11-27-01	No impact: Richard is newly assigned to the YMP and has not created or submitted any 'Q' records.
Johnston, Roy	LPTEC00-012	I	Completed on 1-9-02	No impact: Roy has dispositioned all records as per AP-17.1Q

ATTACHMENT 12 BSC-01-D-129 p 4 of 5

Name	Training	I/IP	Has training been completed or scheduled?	Impact of performing work without completion of required training.
Lum, Clinton	LPTEC00-002	I	Completed on 11-15-01	No impact: Clinton has not dispositioned DRs or CARs
	LPTEC00-012	I	Completed on 11-14-01	No impact: Clinton has dispositioned all records as per AP-17.1Q
	LPTEC01-003	I	Completed on 1-9-02	No impact: Clinton completed training on previous revision of AP-2.21Q on 9-19-00 and planned FY02 work activities as per the BSC FY2002-2004 Detailed Work Plan Systems Guidance (6/01)
Tidwell, Vince	LPTEC00-012	I	Not Applicable	No impact: Vince has not supported YMP activities since 3/01. Has been archived from YMP.
Brosseau, Doug	LPTEC00-012	I	Completed on 10-25-01	No impact: Doug has been on YMP since 9/1/01, but has not performed 'Q' work or submitted QA records to the RPC.

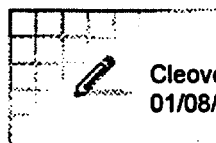
ATTACHMENT 12

78 BSC-01-D-129

P50F5

ATTACHMENT 13

TO DR BSC-01-D-129
p10F3



Cleoves Martinez
01/08/2002 07:13 AM

To: Steven Swenning/YM/RWDOE@CRWMS
cc: Paul Dixon/YM/RWDOE@CRWMS

Subject: Re: BSC-01-D-129 Actions Requested

QA:N/A Exclusionary

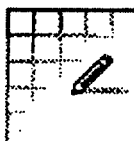
Attached is the LANL Assessment of Impact for BSC-01-D-129. I believe this is what you requested, please let me know if there is anything further you need.

Thanks,
Cleoves



IMPACT SUMMARY FOR DR B

Forwarded by Cleoves Martinez/YM/RWDOE on 01/08/2002 08:16 AM



Paul Dixon
01/07/2002 12:33 PM

To: Steven Swenning/YM/RWDOE@CRWMS, Cleoves Martinez/YM/RWDOE@CRWMS
cc: Don Pearman/YM/RWDOE@CRWMS, Michael Voegelé/YM/RWDOE@CRWMS

Subject: Re: BSC-01-D-129 Actions Requested

QA:N/A Exclusionary

Steve,
Cleoves Martinez is responding to this request.

Paul

Steven Swenning



Steven Swenning

01/07/2002 11:24 AM

To: Paul Dixon/YM/RWDOE@CRWMS

13
ATTACHMENT A TO
DA BSC-01-D-129 p2 of 3

cc: Don Pearman/YM/RWDOE@CRWMS, Michael Voegele/YM/RWDOE@CRWMS

Subject: BSC-01-D-129 Actions Requested

QA:N/A Exclusionary

No response has been received from your organization...just a reminder that your response is requested by January 15, 2002.

Forwarded by Steven Swenning/YM/RWDOE on 01/07/2002 11:26 AM



Steven Swenning

11/08/2001 02:03 PM

To: Paul Dixon/YM/RWDOE@CRWMS

cc: Don Pearman/YM/RWDOE@CRWMS, Michael Voegele/YM/RWDOE@CRWMS

Subject: BSC-01-D-129 Actions Requested

QA:N/A Exclusionary

The purpose of this email is to inform you again about DR 129 and to request your assistance in completing the corrective actions. Training Reports for your functional organization are attached. These reports contain ONLY the quality-affecting activities that are identified in the deficiency. This list represents the extent of condition for your organization. It does not track other training requirements. The response to the deficiency is attached below.

1. Determine if training was required (I) or required prior to performing work (IP)
2. Inform the employee that "I" training is required and that "IP" training is required prior to performing work.
2. Determine if work was performed to these procedures.
3. Determine the impact of performing the work without the required training.
4. Document your assessment of the impact.

We have committed to close this deficiency in the next 90 days. Please schedule your impact assessment accordingly, and request that your employees schedule training as soon as possible. Your response by January 15, 2002 is requested. If you have any questions, please see the response below, or call Steve Swenning at 702-295-5184.



D129 initial amended submitted 11 DR 129 LANL.

ATTACHMENT

43043

[illegible]

14
ATTACHMENT TO BSC-01-D-129 p 1 of 2



Pamela Stanworth <stanworth1@llnl.gov> on 01/14/2002 09:44:16 AM

To: Steven_Swenning@notes.ymmp.gov
cc: kohler1@llnl.gov, mahler7@llnl.gov, warren23@llnl.gov

Subject: Response to BSC-01-D-129

Federal Record Status Not Determined

TO: Steven Swenning

cc: File

SUBJECT: Response to BSC-01-D-129 Actions Requested

Steve,

I have obtained the following information from Lawrence Livermore National Laboratory/Martha H. Kohler's organization as requested in your attached email. Here are the results of the actions taken using the training reports as a guide.

LLNL- One hundred six persons were not current with assigned QA related training programs. Thirty three persons no longer work in the organization. Three participants are retired, changing their training requirements matrixes. Seven individuals were unable to attend the course in the allotted time frame, but are scheduled this month. The other sixty three participants have completed their assigned training. No QA work related to the training not taken was performed nor will be performed by any of these individuals. Therefore, no impact occurred.

This email should satisfy the request made by you in the following email. If you have any questions please call me.

Pamela Stanworth

>
>Steven Swenning
>11/08/2001 02:10 PM
>
>To: Pete Maxfield/YM/RWDOE@CRWMS
>cc: Don Pearman/YM/RWDOE@CRWMS
>
>Subject: BSC-01-D-129 Actions Requested
>

QA:N/A Exclusionary

>
>The purpose of this email is to inform you again about DR 129 and to

>request your assistance in completing the corrective actions. Training
>Reports for your functional organization are attached. These reports
>contain ONLY the quality-affecting activities that are identified in the
>deficiency. This list represents the extent of condition for your
>organization. It does not track other training requirements. The response
>to the deficiency is attached below.

>

>1. Determine if training was required (I) or required prior to performing
>work (IP)

>2. Inform the employee that "I" training is required and that "IP"
>training is required prior to performing work.

>2. Determine if work was performed to these procedures.

>3. Determine the impact of performing the work without the required
>training.

>4. Document your assessment of the impact.

>

>We have committed to close this deficiency in the next 90 days. Please
>schedule your impact assessment accordingly, and request that your
>employees schedule training as soon as possible. Your response by January
>15, 2002 is requested. If you have any questions, please see the response
>below, or call Steve Swenning at 702-295-5184.

--

Pamela Stanworth
LLNL YMP Training Coordinator
2-0771 L-631
stanworth1@llnl.gov

ATTACHMENT 15 TO
BSC-01-D-129 p1 of 2



Lita Raduziner
01/29/2002 02:34 PM

To: Steven Swenning/YM/RWDOE@CRWMS
cc:

Subject: A message from Ken Hess about training requirements

QA:N/A Exclusionary

Steve,
It did go out!

Lita

----- Forwarded by Lita Raduziner/YM/RWDOE on 01/29/2002 02:33 PM -----



Mary Nichols
01/29/2002 02:26 PM

To: Lita Raduziner/YM/RWDOE@CRWMS
cc:

Subject: A message from Ken Hess about training requirements

QA:N/A Exclusionary

Here you are.

Mary

----- Forwarded by Mary Nichols/YM/RWDOE on 01/29/2002 02:27 PM -----



BSC Today
01/21/2002 01:19 PM

Sent by: Susan Watson

To: BSC East, BSC West
cc:

Subject: A message from Ken Hess about training requirements

QA:N/A Exclusionary

The purpose of this memorandum is to provide information on deficiencies related to training and to provide information to you about how you may obtain your training information.

BSC was identified as deficient in meeting our requirements for training related to quality affecting activities in BSC-01-D-129. Your functional manager was notified on November 8, 2001, and again on January 7, 2002, requesting that all quality-related training be completed and that an assessment of the impact of not completing training be accomplished. Please provide any information your manager may request as soon as possible.

Your functional manager should have provided you with a Training Requirements Matrix for your organization. Along with this matrix, your manager should inform you about your job function. This job function is different from your title or position description. It is a general category, such as manager or engineer, used to assign training. By using the Training Requirements Matrix you can determine what

training is required or suggested for your job function.

Each month your manager receives a report from the Training department that shows the training completed by staff in your functional area as well as training needs. If you are not receiving this information from your manager or administrative staff, please ask to see it.

You may also receive access to your training requirements and completed training through TrainingServer Online. To access TrainingServer Online, go to M&O Intranet Home Page, select Tools for a Supervisor, and on this page select Training Server Online. If you do not have an account with a password to TrainingServer Online, please e-mail Cherry Taylor in the Training Department to receive a password.

Completion of required training is an important component of our work at the Yucca Mountain Project to ensure that we are aware of project requirements and to ensure that we are working to the highest standards. You are responsible, as part of your work functions to assure that your training is current. Your manager or the Training department will be glad to assist you if you need additional information.

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U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.**

☒ DR/CAR/QO
☐ SWO

NO. BSC-01-D-129
PAGE OF
QA: QA

CONDITION ADVERSE TO QUALITY CONTINUATION PAGE

Verification of Committed Corrective Actions to Deficiency Report BSC-01-D-129

Block 14a, Immediate Action:

Verified memorandum to distribution HRT.09/01.015 from Training Department outlining and describing improvement to the Training Matrix (see Attachment 1).

Block 14, Remedial Actions:

Verified e-mail dated 9/27/01 to individuals identified in block 6 of this Deficiency Report (see Attachment 2) to schedule and complete required training.

Reviewed the Training Requirements Matrix on the online Training Server, Rev. 3.0, and training completion records for the individuals identified in block 6.

<u>Individual</u>	<u>Procedure</u>	<u>Date Trained</u>
L. Deloach	AP-3.15Q, AP-SIII.1Q	9/10/01
P. Dixon	AP-16.1Q, AP-2.21Q	8/9/01, 8/23/01
A. Eddebbah	AP-16.1Q, AP-2.21Q	9/27/01, 12/10/01
W. French	AP-SI.1Q	IP
Hong-Naim Jow	AP-16.1Q, AP-2.21Q	8/21/01, 8/21/01
K. Lee	AP-SIII.1Q	11/15/01
A. Meijer	AP-3.11Q	8/23/01
A. Orrell	AP-16.1Q, AP-2.12Q	9/27/01, 2/26/02
C. Sharrocks	TWP Process	determined not to be required via matrix review
L. Southworth	AP-16.1Q	11/28/01
G. Valentine	AP-16.1Q, AP-2.21Q	12/6/01, 10/11/01
E. Segura	AP-16.1Q	determined not to be required via matrix review

Block 15, Extent of Condition:

See initial and amended response. In addition, verified objective evidence of impact assessments and training requirements for selected staff identified by their employee code #, for the following functional areas: (Note: Attachments referenced in this section are included in the final records package for this DR.)

General Manager

See complete response for Impact Statement/Assessment.

Verified via review of the BSC online Training Server, Revision 3.0, Training Requirements - Status Report, the training requirements for the following personnel:

15356
15384

Business Management

Verified Impact Statement/Assessment (see Attachment 3).

Verified via review of the BSC online Training Server, Rev. 3, Training Requirements - Status Report, the training requirements for the following personnel:

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U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

☒ DR/CAR/QO
☐ SWO

NO. BSC-01-D-129

PAGE OF
QA: QA

CONDITION ADVERSE TO QUALITY CONTINUATION PAGE**Block 15, Extent of Condition: (Cont)****Chief Financial Office -**

741	11510
3194	14756

Note: A review of the Training Status Report reveals that training to AP-5.1Q, indicated as I (within 90 days of initial hire or new assignment) and assigned 11/14/01 to #15888, had not been taken.

Human Resources/Training -

13602	15359	2905
1466	7072	

Administrative and Technical Support Services -

14850	7041	706
168	7169	

Strategic Planning and Program Integration

Personnel files and self-assessment were satisfactorily verified during OQA Audit BSC-ARC-02-05 (see Attachment 4 for impact statement).

Quality Assurance

Verified impact statement/assessment (see Attachment 5).

Satisfactorily verified via review of the BSC online Training Server, Rev. 3.0, Training Requirements - Matrix Report, the training requirements for the following personnel:

2032	15385	12010
2308	11198	4108
11199	6937	7297

Chief Information Office

Verified Impact Statement/Assessment (see Attachment 6).

Satisfactorily verified via review of the BSC online Training Server, Rev. 3.0, Training Requirements - Matrix Report, the training requirements for the following personnel:

2831	15413
------	-------

Chief Science Office

See complete response for Impact Statement/Assessment.

Verified via review of the BSC online Training Server, Rev. 3.0, Training Requirements - Matrix Report, the training requirements for the following personnel:

11698	6012
-------	------

Note: A review of the Training Status Report reveals that training to AP-2.20Q, AP-2.21Q, and AP-SI.1Q indicated as I (within 90 days of the initial hire or new assignment) and assigned 10/22/01 to #7199 has not been taken.

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☒ DR/CAR/QO
☐ SWO

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PAGE OF
QA: QA

CONDITION ADVERSE TO QUALITY CONTINUATION PAGE

Block 15, Extent of Condition: (Cont)

Engineering

Verified Impact Statement/Assessment (see Attachment 7).

Verified via review of the BSC online Training Server, Rev. 3.0, Training Requirements - Matrix Report, the training requirements for the following personnel:

14113	5071	5779	14137
14141	5338	8268	8184
2018	11217	4685	6875
2532	5537	4773	7312
3004	5767	14999	
3167	11010		

Environmental Safety and Health

Verified Impact Statement/Assessment (see Attachment 8).

Verified via review of the BSC online Training Server, Rev. 3.0, Training Requirements - Matrix Report, the training requirements for the following personnel:

2497	6634	2899
11218	6747	5755

Note: A review of the Training Status Report reveals that training to AP-5.1Q, indicated as I (within 90 days of the initial hire or new assignment) and assigned 07/02/01 to #2736 has not been taken.

Procurement

Verified Impact Statement/Assessment (see Attachment 9).

Verified via review of the BSC online Training Server, Rev. 3.0, Training Requirements - Matrix Report, the training requirements for the following personnel:

14424	14207	15395
15073	11583	11909

Manager of Projects

Verified Impact Statement/Assessment (see Attachment 10).

Verified via review of the BSC online Training Server, Rev. 3.0, Training Requirements - Matrix Report, the training requirements for the following personnel:

13	13510	12037
1336	6691	7381
14035		

Lawrence Berkeley National Laboratory

Personnel training verified during Audit LBNL-ARC-02-06

Verified Impact Statement/Assessment (see Attachment 11)

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☒ DR/CAR/QO
☐ SWO

NO. BSC-01-D-129

PAGE OF
QA: QA

CONDITION ADVERSE TO QUALITY CONTINUATION PAGE

Block 15, Extent of Condition: (Cont)

Sandia National Laboratories
Verified during Audit SNL-ARC-02-04.

Verified Impact Statement/Assessment (see Attachment 12).

Los Alamos National Laboratory
Verified Impact Statement Assessment (see Attachment 13).

Verified via review of the BSC online Training Server, Rev. 3.0, Training Requirements - Matrix Report, the training requirements for the following personnel:

9255	4876	3976	3624	12424
3642	7941	5877	12495	

Note: A review of Training Status Report reveals that training to Checker Training, I indicated as I (within 90 days of the initial hire or new assignment) and assigned 10/22/01 to #9255 has not been taken.

Lawrence Livermore National Laboratory
Verified Impact Statement/Assessment (see Attachment 14).

Verified via review of the BSC online Training Server, Rev. 3.0, Training Requirements - Matrix Report, the training requirements for the following personnel:

1279	13650	13394	15643
2295	12309	13558	14374

Note: A review of the Training Status Report reveals that training to Checker Training, indicated as I, (within 90 days of the initial hire or new assignment) and assigned 10/22/01 to #12309 has not been taken.

16, 8/14/02
Block 17, Cause:

See original response,

12, 8/14/02
Block 18, Action to Prevent Recurrence:

Verified BSC Today on the BSC Intranet dated 01/12/02, a message from Ken Hess about training requirements, also see hardcopy, e-mail (Attachment 15 to his DR).

The Remedial Actions and Actions to Prevent Recurrence have been satisfactorily verified as called out in the responses to this DR. However, a review of selected personnel described in the functional areas as described in Block 16 *was 8/14/02* performed, and reveals that not all have yet to meet the requirements of AP-2.1Q. As thus, corrective actions have been determined to be unsatisfactory, an amended response is requested to address the unacceptable conditions as noted in Block 17, Extent of Condition.

QAR: John R. Doyle
John R. Doyle

Date: 04/03/02

QAM: Jane B. Doyle

Date: 4/5/02

OFFICE OF CIVILIAN F I OACTIVE WASTE MANAGEMEME
U.S. DEPARTMENT OF ENERGY WASHINGTON, D.C

DIR No: 02-11

Page 1 of _ _ _

QA: QA

DEFICIENCY IDENTIFICATION AND REFERRAL

Date: 5/14/02

Open DR/CAR: BSC-01-D-129

Description of Deficiency:

The QAR verification of corrective actions for Deficiency Report BSC-01-D-129 was determined to be unsatisfactory. Examination of similar requirements during Audit Number BSC-ARC-02-09 also identified areas of incomplete training compliance as defined in the Science (CSO) Training Requirements Matrix, Revision 3.

The DR verification process and the referenced audit duplicated unsatisfactory training compliance found for staff training number 7199. In addition staff training numbers 8106 (Checker Training), 2211 (AP2.20Q and AP-SI.1Q training), 12557 (Checker Training), and 7667 (AP-SI.1Q and Checker Training) were found to have unsatisfactory training compliance in the areas noted.

These additional items support the unacceptable condition noted during the follow-up verification.

How Identified:

The above discussed deficient conditions were identified during Audit Number BSC-ARC-02-09.

Open DR/CAR QAR's Concurrence:

John R. Doyle

Donald J. Harris for John R. Doyle
Signature

5-16-02

Date

Printed Name

Prepared by:

James V. Voigt

James V. Voigt
Signature

5/16/2002

Date

OAM Printed Name

Template AP 161-5, 03/25/2002

Submittal Page 1 of 2

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

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 RADIOACTIVE WASTE MANAGEMENT
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1. DR/CAR NO. BSC-01-D-129
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 QA: QA

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)

This DR was rejected during verification because 5 out of 106 employees checked had not completed their assigned training within 90 days of assignment. In the previous complete response, BSC indicated that the extent of condition was the entire BSC (including the National Labs). This has not changed. An additional evaluation of TrainServe conducted May 21, 2002 revealed that approximately 200 people had "I" training indicated that had not been completed. The majority of this training exceeded the 90-day requirement, indicating non-compliance to procedural requirements.

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

A review of the incomplete training identified in the verification statement has resulted in the conclusion that there is no impact since none of the employees identified performed any quality affecting work associated with the incomplete training subjects. The original impact evaluation of approximately 498 employees who did not complete training, did not reveal any impact to work performance.

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

For each employee identified as not completing required training, either the applicable training matrix will be revised to reflect appropriate training or employees will complete assigned training.

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

Management inattention when assigning training, management inattention to assure that employees have completed training as assigned, and employee inattention to training assignment.

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

Training Matrices will be revised to indicate "IP"; that is training will only be required prior to performing work. The training department prepared correspondence for distribution to highlight this issue. Reference email dated 5/30/2002 Barry Mellor to distribution, subject: "Ken Hess request to review IP vs. I training requirements on your matrices."

9. Due Date for Completion of Corrective Action:

July 15, 2002

10. Responsible Manager:

Steven Swenning

Printed Name

Signature

06/05/2002

Date

11. QAR Evaluation: ☒ Accept ☐ Partially Accept ☐ Reject

NOT SIGNIFICANT

JOHN R. DOYLE Signature Date 06/10/02

12. QAM Concurrence:

Ran MURPHY Printed Name

Signature

6/14/02 Date

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REQUEST FOR EXTENDED PROCESSING

3. Extended Actions: (Identify those corrective actions planned for completion beyond 100 days from issuance of the DR/CAR)
Revision of training matrices or completion of required training.

Expected Completion Date: 07/15/2002

4. Justification: (Provide an explanation as to why the required actions cannot be completed within 100 days)
The deficiency report has already been open more than 100 days prior to the submittal of this response. An additional period has been planned for revision of training matrices and/or completion of required training.

5. Impact: (Provide an impact statement to indicate what affect not completing within 100 days will have relative to waste isolation and safety, and impact to other work, if any)

No impact. The extent of condition and subsequent review has not revealed any instances where waste isolation and safety are impacted through this non-compliance.

Approvals

6. Responsible Manager:

Steve Swenning

Printed Name

Signature

06/05/2002

Date

7. Senior Manager:

Don Pearman

Printed Name

Signature

06/05/2002

Date

8. DOE Project Management:

D.G. Horton

Printed Name

Signature

7/3/02

Date

9. DOQA:

RAN B. MURRY

Printed Name

Signature

7/3/02

Date

10. Director, OCRWM: (required for scheduled completion dates one year or more from initial issue)

Printed Name

N/A

Signature

N/A

Date

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*Deco
7/24/02*

CONDITION ADVERSE TO QUALITY CONTINUATION PAGE

Verification of Corrective Actions to DR BSC-01-D-129

Block 4. Extent of Condition:

None Required

Block 5. Impact:

See Amended Response

Block 6. Remedial Actions:

Verified Training Server 3.0 @Online 7/10/02 that the committed remedial actions were performed for the following personnel:

Employee #	Procedure	Status	Date Completed
15888	AP-5.1Q	Finished	5/14/ 02
7199	AP-2.20Q	IP	
	AP-2.21Q	IP	
	AP-SI.1Q	IP	
2736	AP-5.1Q	Finished	5/14/02
12309	Checker Training	IP	
9255	Checker Training	IP	

Block 7. Root Cause:

None Required

Block 8. Action to Preclude Recurrence:

Verified e-mail correspondence B. Mellor to Distribution dtd. 05/30/02 (See Attachment 16)

In addition, reviewed the Training Server 3.0 @Online on 7/18/02 for the every tenth person selected from the OCRWM Contract Directory of 7/18/02 (employee number designation). The following is the employee number with designations:

1001, 1046, 15418, 1127, 14291, 16894*, 11825, 1279, 8236, 11750, 14321, 11523, 13602, 11641, 15379, 12248, 2052*, 14564, 15446, 15583, 1776, 14141, 17102, 16397*, 9201, 752, 2004, 12101, 15369, 2154, 2182, 8239, 2250, 11668, 12378, 2379, 11964, 2460, 14126*, 11281, 17107, 8597, 3194, 8350, 2688, 7963, 13980, 2787, 17069, 360, 15856, 17106, 2292, 3021, 3049, 13409, 14665**, 14264, 3208, 16999*, 12398, 16797*, 16671*, 3382, 16748*, 13894, 3514, 3549, 11792, 11328, 13650, 16455, 15168, 16899, 8194, 3847, 3380, 3911***, 14627, 13603, 519, 4018, 128, 16083, 13536, 15547, 9276, 16669, 11395, 4314, 9256, 11882, 13959, 13431, 15620, 16958, 16947, 7778, 4603, 12424, 12426, 4693, 4730, 16966, 15426, 14823, 14809*, 14708, 14041, 2623, 7745, 15364, 15546, 5042, 5076, 16893*, 14503, 15570, 5252*, 13460, 15359, 5342, 5470, 15384, 8462*, 7941, 16944, 16834, 5728, 5767, 5794, 13458, 15877, 15936, 9321, 9257, 16258, 11568, 15625, 15307, 12253, 6223, 8519, 6350, 16930, 15917, 11010, 15113, 11521, 15875, 15451, 16985, 15290, 16876, 15725, 6721, 629, 6800, 13592, 11419, 8376, 14952, 13023, 11130, 16889, 15371, 17051, 7105, 7169, 8652, 7251, 14814, 11781, 17086, 15440, 17053, 876, 7509, 14512, 7585, 13846, 15874, 7697, 7700

(See Continuation Page 2)

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Block 8. (Continued)

The following are notations for required training called out by "I" which personnel identified above have not taken:

- * LPTEC00-012 "Creation, Maintenance, Use and Disposition of OCRWM Records (CBT)" (12 personnel)
- ** LPTEC00-006 "AP-SI.1Q- Software- Middle Management Module 2" (1 person)
- *** LPTEC00-002 "AP-16.1Q Management of Conditions Adverse to Quality" (1 person)

Further investigation via the TrainingServer@Online Training Needs Report Option reveals the following additional information:

LPTEC00-006 "AP-SI.1Q- Software- Middle Management Module 2" :Employee # 15037
LPTEC00-002 "AP-16.1Q Management of Conditions Adverse to Quality" : Employee #'s 13474, 4079, 4508, 6206, 1316, 12229, 14629, 5211, 5865, and 8341
LPTEC00-006 "AP-5.1Q Plans, & Procedures Process Control Training": Employee #'s 17118, 2124, 14932, 5279 and 14639 (although designated IP, individual is author of LP-CM-003, signed off 2/22/02).

The Above Committed Remedial Actions are considered satisfactorily and complete, however Actions to Prevent Recurrence have been performed, the implementation of is considered ineffective and incomplete.

QAR: John N. DoyleDate: 7/24/02QAM: James Blaylock forDate: 8/1/02

Submittal Page <u>1</u> of <u>2</u> 2. Check if Amended <input checked="" type="checkbox"/> Check if also Initial Response <input type="checkbox"/> 3. Extended Processing <input type="checkbox"/> No <input checked="" type="checkbox"/> 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.: BSC-01-D-129 Page <u> </u> of <u> </u> QA: QA
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) This DR was rejected during verification. In the previous complete response, BSC indicated that the extent of condition was the entire BSC (including the National Labs). This has not changed.		
5. Impact: (Provide an impact statement relative to waste isolation and safety, and impact to other work, if any) A review of the incomplete training identified in the verification statement has resulted in the conclusion that there is no impact		
6. Remedial Actions: (Document all actions necessary to address the results of the Extent of Condition) Complete and verified by the QAR. See objective evidence dated 08/01/02.		
7. <input type="checkbox"/> Root Cause (For a significant CAQ, attached results of formal root cause determination prepared in accordance with AP-16.4Q) <input checked="" type="checkbox"/> Apparent Cause See response dated 06/05/02 for apparent cause. No change.		
8. Action to Preclude Recurrence: (Address those actions necessary to prevent the identified cause from recurring) Training Matrices will be revised to indicate "IP", as appropriate. The training department prepared correspondence for distribution to highlight this issue. Reference email dated 5/30/2002 Barry Mellor to distribution, subject: "Ken Hess request to review IP vs. I training requirements on your matrices." In addition, Mr. Hess sent an additional message on 08/09/02 to his functional managers directly responsible for training implementation holding them, again, directly accountable for training within their organizations, and instituting corrective and disciplinary actions when training requirements have not been met. This additional message places a September 9, 2002 date for training completion, or training registration if the course is not available before that date.		
9. Due Date for Completion of Corrective Action: September 15, 2002	10. Responsible Manager: <u>Mr. BSCGA</u> Steven Swenning 8/15/02 <hr/> Printed Name <u> </u> Signature <u> </u> Date <u> </u>	
11. QAR Evaluation: <input checked="" type="checkbox"/> Accept <input type="checkbox"/> Partially Accept <input type="checkbox"/> Reject <input checked="" type="checkbox"/> Re-evaluated for significance <u>John R. Doyle</u> <u>John R. Doyle</u> <u>08/20/02</u> <hr/> Printed Name <u> </u> Signature <u> </u> Date <u> </u>	12. QAM Concurrence: <u>Pam Murthy</u> <u>Jane B. [Signature]</u> <u>8/21/02</u> <hr/> Printed Name <u> </u> Signature <u> </u> Date <u> </u>	

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REQUEST FOR EXTENDED PROCESSING

3. Extended Actions: (Identify those corrective actions planned for completion beyond 100 days from issuance of the DR/CAR)
Completion of Actions to Preclude Recurrence

Expected Completion Date: 09/15/2002

4. Justification: (Provide an explanation as to why the required actions cannot be completed within 100 days)
The deficiency report has already been open more than 100 days prior to the submittal of this response.

5. Impact: (Provide an impact statement to indicate what affect not completing within 100 days will have relative to waste isolation and safety, and impact to other work, if any)
No impact. The extent of condition and subsequent review has not revealed any instances where waste isolation and safety are impacted through this non-compliance.

Approvals

6. Responsible Manager:

Steve Swenning
Printed Name

Signature

08/15/2002
Date

7. Senior Manager:

Don Pearman
Printed Name

Signature

08/15/2002
Date

8. DOE Project Management:

Printed Name

Signature

Date

9. DOQA:

RAM MURPHY
Printed Name

Signature

Date

10. Director, OCRWM: (required for scheduled completion dates one year or more from initial issue)

Printed Name

Signature

Date

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Rejection of Verification of Committed Corrective Actions to Deficiency BSC-01-D-129

Block 4, Extent of Condition: (not applicable)

Block 4, Impact: (not applicable)

Block 6, Remedial Actions: (not applicable)

Block 7, Root Cause: (not applicable)

Block 8, Action to Preclude Recurrence:

Verified via TrainingServer Database version 4.8 that Training Matrices have been revised as per memo dated 05/30/02 (see Attachment 16). Also verified web based message from K. Hess to staff dated 08/09/02 (See Attachment 17) which places a September 9, 2002 deadline date for training completion or enrolled in the next available training session.

History:

Completion of corrective actions identified for this DR was scheduled 09/15/02 and tracked through verification by management generated Overdue Reports. Prior to the notification that corrective actions were complete, a decision to verify internally that corrective actions were complete and effective was made. BSC QA surveillance BQA-SI-03-004 was performed 10/28 through 11/18/02 to verify such and resulted that actions were not complete with personnel lacking/not taken their required training. In the meantime, three Quality Observations BSC(B)-03-O-023, BSC(B)-03-024 and BSC(B)-03-0-025 were issued 11/19/02 and 11/20/02 documenting that procurement, scientific notebook user and checker personnel had performed quality affecting activities prior to training to their implementing procedures.

The QAR has again evaluated actions to prevent recurrence by a sample of BSC personnel. The following methodology was utilized: Recent BSC QA objective evidence (documentation) was reviewed to determine the responsible personnel who had generated such documentation via signature review of same. Affected personnel were cross checked to the current Training Server Database version 4.8 to verify that assigned training was complete.

The following is a list of objective evidence, training required prior to doing work, and the personnel identified:

Objective Evidence	Training Required	Employee Number
Process Model Report ANL-EBS-MD-000030 Rev 02	LPTEC02-028 LPCOM00-02	6295*, 6944, 11698, 11162, 12371 12371
Abstraction Model Report MDL-DSU-MD-000001 Rev 00	LPTEC02-028 LPCOM00-02	14262, 11204, 14340, 12034, 147
Process Model Report MDL-EBS-NU-000001 Rev 00	LPTEC02-028 LPCOM00-02	11429, 16252, 11954, 14565 11429, 16252, 11954, 14565
Process Model Report MDL-EBS-NU-000003 Rev 00	LPCOM00-02 LPTEC02-028	11788, 1232, 4709 11788, 1232, 4709
Design Calculations 800-KOC-TEG0-00200-000-00A and	LPTEC02-013	12132, 12087, 1590, 2018, 6875, 783

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Rejection of Verification of Corrective Actions to DR BSC-01-D-129 (Continued)

Objective Evidence	Training Required	Employee Number
110-00C-CS10-00100-000-00A	LPTEC00-008	12132, 12087, 15900, 6875, 783, 2018
Self Assessments: SA-IAM--2002-014 SA-SOP-2003-001, SA-PAP-2003-007 SA-SOP-2003-003, SA-PAP-2003-010	LPTEC00-014	4198, 5302, 5071, 11166, 3352 1316, 4639, 15377
Procedures: AP-6.1Q Rev. 7, AP-S.I.3Q Rev 0 AP-SIII.1Q Rev. 2, LP-PMM-004Q Rev 0 LP-OM-035Q Rev. 0 ICN 1	LPTEC00-006 LPTEC00-018	16671**, 16844, 14639, 15466, 13233, 6012, 7667, 1309, 1493, 15395, 15396, 16844, 5534, 11350,
Deficiency/Observation Reports: BSC(B)-03-D-030 BSC(B)-03-D-023, BSC(B)-02-D-022, BSC-02-D-086 BSC(O)-03-D-004, LBNL(B)-03-D-036, BSC(B)-03-D-002 BSC(B)-03-023**, BSC(B)-03-O-040, BSC(B)-03-D-001 BSC(O)-03-D-046, BSC(B)-02-132, BSC(B)-02-D-160, BSC(B)-02-C-129	LPTEC00-002	3352, 16748, 13233, 17150 15385, 14571, 15566, 687 8278, 3382, 13539, 7342, 17149 4009, 15445, 2032, 14045, 2899
Scientific Notebooks: SN-LLNL-SCI-463 V1 LBNL-GJM-YS-1, YMP-LBNL-HHL-GZ-1 SN-LANL-SCI-288 V1, SN-LANL-SCI-291 V1, SN-LLNL-SCI-476 V1, SN-LLNL-SCI-475 V1, SN-LANL-SCI-295 V, SN-LLNL-SCI-4499 V6	LPTEC00-013	13597, 13847, 13537, 4205, 16436 YMP- 14368, 3642, 7245
Software User Requests: Rock Modulus Slot Test ver 4.0, CLReg V1.0, GENHSUMODELDATA V 1.0, SPLICE ver. 1.0 GetEQData V1.0.1, SAPHIRE V 7.18, toptemp_v 0f1.0 bot_sum.fv10, EXTRACT 1.1	LPTEC03-001& 003	11789, 3642, 3264, 8077***, 14215, 4514, 16258, 11222, 17470 16220, 16452, 14565, 8278, 13541, 16337, 12545***, 14210, 12200, 14383, 17092, 13942

* 6295 IP Training to AP-SIII.9Q and 10Q not performed as per AP-2.1Q requirements.

** 16671 IP training to AP-5.1Q and AP-6.1Q not performed as per AP-2.1Q requirements.

*** 8077 and 12545 IP training to AP-SI.1Q Requirements as requires by training matrix, not taken

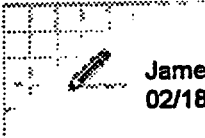
As a result of the above verifications, there are still personnel performing QA affecting work without their training assignments being completed. Corrective memos from management, the lack of disciplinary actions by management, and the identification of like conditions by three Quality Observations while this deficiency was open with overdue reports indicate that Actions to Prevent Recurrence are still ineffective.

QAR:

John R. Doyle
John R. Doyle

Date:

01/22/03



James Blaylock
02/18/2003 12:34 PM

To: James Blaylock/YD/RWDOE
cc:
Subject: D-129

User Filed as: Not Categorized in ERMS

Progress to complete corrective actions for closure of this DR had been unacceptable. Consequently, a rejection of corrective actions was drafted with transmittal to follow a meeting with BSC senior management. on February 4, 2003. The training issues received the needed attention prior to this meeting, hence, with the resolution of one last issue, OQA is closing the DR. In accordance with program requirements, this DR had been carried on the overdue list since September 23, 2002, however the weekly reporting did not provide meaningful information as to the incremental progress being achieved in accordance with the procedural requirements. Hence, the drafted rejection of corrective actions will be retained and submitted with the records package for this DR.

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CONDITION ADVERSE TO QUALITY CONTINUATION PAGE

Verification of Committed Corrective Actions to Deficiency BSC-01-D-129

Block 4, Extent of Condition: (not applicable)

Block 4, Impact: (not applicable)

Block 6, Remedial Actions: (not applicable)

Block 7, Root Cause: (not applicable)

Block 8, Action to Preclude Recurrence:

Verified via TrainingServer Database version 4.8 that Training Matrices have been revised as per memo dated 05/30/02 (see Attachment 16). Also verified web based message from K. Hess to staff dated 08/09/02 (See Attachment 17) which places a September 9, 2002 deadline date for training completion or enrolled in the next available training session.

The QAR has again evaluated actions to prevent recurrence by a sample of BSC personnel. The following methodology was utilized: Recent BSC QA objective evidence (documentation) was reviewed to determine the responsible personnel who had generated such documentation via signature review of same. Affected personnel were cross checked to the current Training Server Database version 4.8 to verify that assigned training was complete.

The following is a list of objective evidence, training required prior to doing work, and the personnel identified:

Objective Evidence	Training Required	Employee Number
Process Model Report ANL-EBS-MD-000030 Rev. 02	LPTEC02-028 LPCOM00-02	6295, 6944, 11698, 11162, 12371 12371
Process Model Report MDL-NBS-GS-000005, Rev. 00	LPTEC02-028 LPCOM00-02	3352, 12510, 3697, 1447, 4514, 9255
Self Assessments: SA-SOP-2003-002 SA-PAP-2003-011, SA-SOP-SA-2003-003 and SA-RDP-2003-002		16849, 15037, 14665, 3505, 9255, 5071, 7251, 9243, 15371, 11798, 176
Procedures: AP-6.1Q Rev. 7, AP-S.I.3Q Rev. 0 AP-S.III.1Q Rev. 2, LP-PMM-004Q Rev. 0 LP-OM-035Q Rev. 0 ICN 1, AP-5.2Q, Rev. 1	LPTEC00-006 LPTEC00-018	16671, 16844, 14639, 15466, 13233, 6012, 7667, 1309, 1493, 15395, 15396, 16844, 5534, 11350, 8070, 7342
Deficiency/Observation Reports: BSC(B)-03-D-030 BSC(B)-03-D-023, BSC(B)-02-D-022, BSC-02-D-086 BSC(O)-03-D-004, LBNL(B)-03-D-036, BSC(B)-03-D-002 BSC(B)-03-023, BSC(B)-03-O-040, BSC(B)-03-D-001 BSC(O)-03-D-046, BSC(B)-02-132, BSC(B)-02-D-160, BSC(B)-02-C-129	LPTEC00-002	3352, 16748, 13233, 17150 15385, 14571, 15566, 687 8278, 3382, 13539, 7342, 17149 4009, 15445, 2032, 14045, 2899

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Verification of Corrective Actions to DR BSC-01-D-129 (Continued)

Objective Evidence	Training Required	Employee Number
Scientific Notebooks: SN-LLNL-SCI-463 V1 YMP LBNL-GJM-YS-1, YMP-LBNL-HHL-GZ-1 SN-LANL-SCI-288 V1, SN-LANL-SCI-291 V1, SN-LLNL-SCI-476 V1, SN-LLNL-SCI-475 V1, SN-LANL-SCI-295 V, SN-LLNL-SCI-4499 V6	LPTEC00-013	13597, 13847, 13537, 4205, 16436, 14368, 3642, 7245
Software User Requests: Rock Modulus Slot Test ver 4.0, CLReg V1.0, GENHSUMODELDATA V 1.0, SPLICE ver. 1.0 GetEQData V1.0.1, SAPPHIRE V 7.18, toptemp_v 0f1.0 bot_sum.fv10, EXTRACT 1.1	LPTEC03-001& 003	11789, 3642, 3264, 14215, 4514, 8077 16258, 11222, 17470, 16220, 16452, 14565, 8278, 13541, 16377, 12545. 14210, 12200, 14383, 17092, 13942

The above committed corrective actions are considered complete.

QAR:  Date: 02/11/03
John R. Doyle



Barry Mellor
07/23/2002 10:14 AM

To: John Doyle/YD/RWDOE@CRWMS

cc:

Subject: Ken Hess request to review IP vs. I training requirements on your matrices

User Filed as: Excl/AdminMgmt-14-4/QA:N/A

Here you go.

Thanks, Barry

Forwarded by Barry Mellor/YM/RWDOE on 07/23/2002 10:14 AM



Barry Mellor
05/30/2002 11:10 AM

To: Collin Moller/MV/RWDOE@CRWMS, Dennis Sorensen/YM/RWDOE@CRWMS, Don Krisha/YM/RWDOE@CRWMS, Nancy Williams/YM/RWDOE@CRWMS, Michael Voegele/YM/RWDOE@CRWMS, James Whitcraft/YM/RWDOE@CRWMS, Scott Hajner/YM/RWDOE@CRWMS, Darell vonderLinden/YM/RWDOE@CRWMS, Pete Maxfield/YM/RWDOE@CRWMS, Eric Koppitsch/YM/RWDOE@CRWMS, Melinda D'Ouille/YM/RWDOE@CRWMS, Wiley Wells/YM/RWDOE@CRWMS, Beatrice Reilly/YM/RWDOE@CRWMS, Jeff Halliday/YM/RWDOE@CRWMS, David Tommela/YM/RWDOE@CRWMS, Rick Sava/YM/RWDOE@CRWMS, Leon Fossum/YM/RWDOE@CRWMS, John Frey/YM/RWDOE@CRWMS, Jayne Davis/YM/RWDOE@CRWMS, Steven Swenning/YM/RWDOE@CRWMS, Dean Kunihiro/YM/RWDOE@CRWMS, Charles Sharrocks/YM/RWDOE@CRWMS, Maxine Carver/YM/RWDOE@CRWMS, Lewis Neddo/YM/RWDOE@CRWMS, Don Horton/YD/RWDOE@CRWMS, Nelson O'Connor/YM/RWDOE@CRWMS, Mary O'Donnell/YM/RWDOE@CRWMS

cc: Cheryl Schneider/YM/RWDOE@CRWMS, Lisa Pascoe/YM/RWDOE@CRWMS, Connie Kittrell/YM/RWDOE@CRWMS, Maryann Villavert/YM/RWDOE@CRWMS, Lorraine DeGarmo/YM/RWDOE@CRWMS, Debbie Zesiger/YM/RWDOE@CRWMS, Jocelyn Knapp/YM/RWDOE@CRWMS, Jocelyn Knapp/YM/RWDOE@CRWMS, Crystal French/YM/RWDOE@CRWMS, Cheryl Cummings/YM/RWDOE@CRWMS, Darlene Freitas/YM/RWDOE@CRWMS, Carol Way/YM/RWDOE@CRWMS, Linda Sykes/YM/RWDOE@CRWMS, Carla Hays/YM/RWDOE@CRWMS, Lita Raduziner/YM/RWDOE@CRWMS, Barbara Tancayo/YM/RWDOE@CRWMS, Karen Queheillait/YM/RWDOE@CRWMS, Carolyn Gogue/YM/RWDOE@CRWMS, Janet Bosse/YM/RWDOE@CRWMS, Lynne Norman/YM/RWDOE@CRWMS, Renee Johnson/MV/RWDOE@CRWMS, Trudy Rupp/YM/RWDOE@CRWMS, Trish Pytel/YM/RWDOE@CRWMS, Debbie Zesiger/YM/RWDOE@CRWMS, Kathryn Cambem/YM/RWDOE@CRWMS, Jennifer Bennett/YM/RWDOE@CRWMS, Barbara Tancayo/YM/RWDOE@CRWMS, Patricia Freeman/YM/RWDOE@CRWMS, Janice Hall/YM/RWDOE@CRWMS, Renee Johnson/MV/RWDOE@CRWMS, Jerri McCann/YM/RWDOE@CRWMS, Trudy Rupp/YM/RWDOE@CRWMS, Carmella Gonzalez/YM/RWDOE@CRWMS, Lynne Norman/YM/RWDOE@CRWMS, Terry Rathgeb/YM/RWDOE@CRWMS, Janet Christ/YM/RWDOE@CRWMS, Janice Roberson/YM/RWDOE@CRWMS, Mary Moorleghean/YM/RWDOE@CRWMS, Shirl Derby/YM/RWDOE@CRWMS, Ken Beall/YM/RWDOE@CRWMS, Denise Karl/MV/RWDOE@CRWMS, Thomas Swift/MV/RWDOE@CRWMS, Larry Croft/YM/RWDOE@CRWMS, Joanne Foster/YM/RWDOE@CRWMS, Pam West-Thompson/YM/RWDOE@CRWMS, Paul Turner@CRWMS, Christine Drummond@CRWMS, Don Pearman/YM/RWDOE@CRWMS, Ken Hess/YM/RWDOE@CRWMS

Subject: Ken Hess request to review IP vs. I training requirements on your matrices

QA:N/A Exclusionary

Ken Hess has asked all managers to review their Training Matrices to ensure only required training is listed and that consideration be given to making those requirements "IP" (Initial, prior to performing work) consistent with the QARD, AP-2.1Q, *Indoctrination and Training of Personnel*, and AP-ESH-004, *Occupational Safety and Health Program*.

The "I" (Initial) requirement makes training due within 90 days. However, for QA and ES&H requirements, the QARD and AP-ESH-004 require training be completed "prior to performing the work" (IP). The "I" requirement category was initially created for new hire training, such as Diversity, Sexual Harassment, and Cyber Security. By applying it to QA and ES&H courses, DRs have been issued for QA requirements not completed within 90 days, even though the individual was not working to the procedure. Additionally, applying an "I" to QA related training gives personnel the idea that they have 90 days to complete the training, which is not true, the QARD and AP-2.1Q both say to ensure training is completed prior to performing work.

If, after reviewing your Training Matrices, you make any changes, please sign and date the revised matrix and forward it to the HR & Training Department (Barry Mellor or Christine Drummond).

If you have any questions or need more information on establishing training requirements or on the development of a training matrix, please do not hesitate to call (5-5378) or e-mail me.

Thank you,

Barry Mellor
Training Supervisor,
Project Execution & Technical Support
Training Programs

**ATTACHMENT 17 TO
DR BSC-01-D-129**

Sept. 9 deadline for completing required training

As a Yucca Mountain Project employee, it is your responsibility to review your individual training status report and to ensure that your training is updated and maintained. Ken Hess, BSC president and general manager, has set Sept. 9 as the deadline for employees to update all of their required training.

Employee Training Status Reports were sent to functional managers on Monday. Your supervisor is responsible to review your training status report with you and to assist you in acquiring training.

Employees who are not up to date with all of their required training by the Sept. 9 deadline are subject to disciplinary action, including having their badges deactivated and being placed on time off without pay.

If, by Sept. 9, you are not either (1) current on your required training, or (2) enrolled in the next available training session, you and your supervisor will be required to meet with Ken Hess to explain why your training is not current. If the reasons given for expired training are not acceptable, you should expect disciplinary actions to be taken.

This policy is in effect from this point forward. After Sept. 9, 2002, employees will be expected to maintain their training as current at all times; employees and their manager who allow their training to lapse after Sept. 9, 2002, will continue to be required to meet with Hess and will be subject to disciplinary actions.

New hires will continue to have 90 days to complete their training.

Ensuring that our workforce is complete and current in its training is a key to the success of the OCRWM Program and the pursuit of an NRC license.