

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

8 CAR NO.: YM-92-025
DATE: 03/13/92
SHEET: 1 OF 2
QA

CORRECTIVE ACTION REQUEST

1 Controlling Document PP-02-01, Rev. 0; PP-02-02, Rev. 0; PP-02-08, Rev. 0	2 Related Report No. Audit YMF-92-11
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3 Responsible Organization RSN	4 Discussed With M. Regenda/J. Rue
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5 Requirement:

PP-02-02, Rev. 0, Paragraph 6.1 states in part "Position Descriptions - Human Resources shall, with assistance from the supervisors and/or managers, develop position descriptions for all personnel who perform quality affecting activities".

Paragraph 6.2 states in part "Personnel Qualification Evaluation - The Manager, Human Resources shall verify the education and experience of employees prior to their performing quality affecting activities. Attachment 1 will be used to certify that this verification has been completed.

Each manager or supervisor shall compare the education and experience of the employee against the education and background experience requirements established for the position. The managers or supervisors will certify that requirements have been met in the format specified in Attachment 1."

6 Adverse Condition:

Documented evidence of some elements of indoctrination and training required by implementing procedures are missing in the record files.

The record files of the following personnel did not contain documented evidence of one or more of the requirements described in block 5 above:

J. McNeely	R. Strote	D. Anderson	C. Herrington
C. Clark	E. Wasson	J. Hansen	

All of these personnel have been authorized to perform quality affecting work prior to March 3, 1992.

9 Does a significant condition adverse to quality exist? Yes ___ No <u>X</u> If Yes; Circle One: A B C	10 Does a stop work condition exist? Yes ___ No <u>X</u> ; If Yes - Attach copy of SWO If Yes; Circle One: A B C D	11 Response Due Date: 20 days after issue
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12 Required Actions: Remedial Extent of Deficiency Preclude Recurrence Root Cause Determination

13 Recommended Actions:
Identify the remedial action to be taken to correct the deficiency noted in block 6. Identify the cause of the condition and the planned corrective action to prevent recurrence.

7 Initiator M. Diaz <i>Mario Diaz</i> Date <u>3-13-92</u>	14 Issuance Approved by: QADD <i>R.C. Spence</i> Date <u>3/16/92</u>
15 Response Accepted QAR <i>Mario Diaz</i> Date <u>4-16-92</u>	16 Response Accepted QADD <i>R.C. Spence</i> Date <u>5/4/92</u>
17 Amended Response Accepted QAR _____ Date _____	18 Amended Response Accepted QADD _____ Date _____
19 Corrective Actions Verified QAR _____ Date _____	20 Closure Approved by: QADD _____ Date _____

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CORRECTIVE ACTION REQUEST (Continuation Page)

5 Requirements (continued)

PP-02-01, Rev. 0, Paragraph 6.1.2, states in part "Prior to performing any quality affecting activity, the employee shall be indoctrinated as a minimum to the following:

- o Project level plans
- o Job responsibilities and authority
- o The Quality Assurance Requirements Document (QARD)"

PP-02-08, Rev. 0, Paragraphs 6.11.1, 6.11.2, and 6.11.2.13 state in part "Current certification records of Level II, and Level III employees shall be maintained by the examiner. The certification shall include as a minimum ... Training Records."

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RSN Response: Reference discrepancy to PP-02-02, Rev. 0

Remedial Action - Job Descriptions (JD) and Personnel Qualification Evaluations (PQE) will be obtained for personnel without this documentation in their files.

Extent of Deficiency - Individuals that are lacking JDs and PQEs have been identified, RSN/YMP Management is in the process of developing YMP oriented JDs, and RSN Human Resources is verifying the education and experience of these individuals working on the YMP.

Preclude Recurrence - This is a one time occurrence and prior to start of work on the YMP, each individual will have a JD and PQE in place.

Root Cause Determination - JDs and PQEs were not developed for the YMP project matrix personnel because they were overlooked when these documents were developed for assigned project personnel.

Reference discrepancy to PP-02-01, Rev. 0

Remedial Action - The requirements for indoctrination to the Project Level Plans and the Quality Assurance Requirements Document (QARD) do not relate to the work to be accomplished by RSN. The RSN personnel accomplish their work to the RSN Quality Assurance Program Description (QAPD). Procedure Interim Change 3 to Project Procedure PP-02-01, Revision 0, deleting these items was issued and became effective on March 5, 1992. There will be no further action taken regarding this matter. Job responsibility and authority indoctrination will be included in the files for all personnel working on the YMP for which this is a requirement.

Extent of Deficiency - All personnel required to have this indoctrination did not have documentation in their files.

Preclude Recurrence - The Managers are being made aware that the documentation of an indoctrination on job responsibilities and authority is part of the training and indoctrination process.

Root Cause Determination - The requirement for documentation of an indoctrination on job responsibilities and authority was not implemented properly after being entered into the procedure.

Att dtd 4/10/92 - RSN-YMP-1327

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CORRECTIVE ACTION REQUEST (Continuation Page)

Reference discrepancy to PP-02-08, Rev. 0

Remedial Action - The procedure will be revised to delete the requirement for the examiner to maintain training records. The training records are maintained by the RSN YMP Project Office.

Extent of Deficiency - There has been only one (1) person involved in this activity.

Preclude Recurrence - The procedure will be revised.

Root Cause Determination - The requirement for the examiner to maintain training records was overlooked at the time the certification was being done.

Estimate Completion Date: 06/12/92

Responsible Individual: R. L. Schreiner
R. L. Schreiner
Manager, Systems Engineering

Response Approval: M. Wilson Date: 4-10-92
for R. h. Bullack