

memorandum

DATE: JUNE 10, 1996

QA:L

REPLY TO
ATTN OF: RW-3.1

SUBJECT: Office of Civilian Radioactive Waste Management (OCRWM) Quality Assurance Surveillance HQ-SRC-96-002

TO: Office Director, RW-10

Attached is the report of OCRWM Surveillance HQ-SRC-96-002, conducted by the Headquarters Quality Assurance Division on April 8 through 17, 1996. The surveillance was conducted to verify proper verification and qualification of OCRWM personnel performing quality affecting activities as documented on position descriptions.

The surveillance team identified one Corrective Action Request (CAR), HQ-96-C-001 and five Deficiency Reports (DRs), HQ-96-D-003 through 007, issued via a separate letter, for your action.

If you have any questions, please contact me at (202) 586-1238 or James George of QATSS at (202) 488-5429.



Robert W. Clark, Director
Headquarters Quality Assurance
Division

Attachment

cc:

- D. Dreyfus, RW-1
- T. Johnson, RW-3.1
- D. Spence, RW-3.2
- C. Lukasik, RW-16
- R. Milner, RW-30
- S. Rousso, RW-40
- S. Zimmerman, Carson City, NV
- R. Loux, Carson City, NV
- C. Schank, Churchill Co. NV
- J. Bingham, Clark Co. NV
- D. Betchel, Clark Co. NV
- E. von Teisenhausen, Clark Co. NV
- J. Hayes, Esmeralda Co. NV
- L. Fiorenzi, Eureka Co. NV
- B. Mettam, Inyo Co. NV
- G. Derby, Lander Co. NV
- J. Pitts, Lincoln Co. NV
- M. Baughman, Lincoln Co NV
- V. Poe, Mineral Co. NV
- W. Offutt, Nye Co. NV
- P. Niedzielski-Eichner, Nye Co. NV
- J. Spraul, NRC

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PDR WASTE
WM-11 PDR

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102.7
WM-11

R. Morgan, M&O, Vienna

R. Ruth, M&O, NV

J. Willis, M&O, Vienna

J. MacCarthy, M&O, Vienna

F. Mariani, White Pine Co. NV

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

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Surveillance No. HQ-SRC-96-002

QUALITY ASSURANCE SURVEILLANCE RECORD

SURVEILLANCE DATA

1. ORGANIZATION/LOCATION: OCRWM/WASHINGTON, D.C.		2. SUBJECT: HLP-2.1Q Verification, Indoctrination and Training of Personnel		3. DATE: 4/8 - 12/96	
4. SURVEILLANCE OBJECTIVE: To verify proper verification and qualification of OCRWM personnel performing quality affecting activities as documented on position descriptions.					
5. SURVEILLANCE SCOPE: Open qualification packages for: DOE Personnel (RW - 1, 2, 3, 10, 30, 40) Contractors: WESTON QATSS EIA ASTA				6. SURVEILLANCE TEAM: Team Leader: Jack D. Walsh Additional Team Members: Charles E. Betts James George	
7. PREPARED BY: <u>Jack D. Walsh</u> <u>Jack D. Walsh</u> <u>03/28/96</u> Surveillance Team Leader Date			8. CONCURRENCE: <u>R.W. Cael</u> <u>3/29/96</u> QA Division Director Date		

SURVEILLANCE RESULTS

9. BASIS OF EVALUATION / DESCRIPTION OF OBSERVATIONS:

See section 9 of the report

10. SURVEILLANCE CONCLUSIONS:

See section 10 of the report

11. COMPLETED BY: <u>Jack D. Walsh</u> <u>5/9/96</u> Surveillance Team Leader Date		12. APPROVED BY: QA Division Director Date	
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9 BASIS OF EVALUATION/DESCRIPTION OF OBSERVATIONS

The surveillance was conducted at the request of the Director, Human Resources Division Office of Human Resources and Administration (OHRA). The purpose was to verify proper qualification of OCRWM personnel performing quality affecting activities. Open Personnel Qualification Record Packages were reviewed for those organizations listed in the Surveillance Scope of the Quality Assurance Surveillance Record. During the course of the surveillance, as directed by the Directors of HQAD and OHRA, the applicable closed personnel Qualification Record Packages for Federal OCRWM Headquarters HQ Personnel were reviewed.

PERSONNEL CONTACTED

Personnel contacted during the surveillance are listed in Attachment 1.

SUMMARY OF SURVEILLANCE RESULTS

QA Program Surveillance Activities

The objective evidence reviewed for OCRWM HQ Federal personnel, both open and closed personnel Qualification Record Packages, is as follows:

- | | | |
|--------------------|--------------------|--------------------|
| 1. S28-94-1100.00 | 11. S28-94-0994.00 | 21. S80-92-0671.00 |
| 2. S28-95-1141.00 | 12. S28-94-0988.00 | 22. S80-92-0333.00 |
| 3. S28-95-1135.00 | 13. S28-94-0997.00 | 23. S80-92-0672.00 |
| 4. S28-94-0985.00 | 14. S28-94-1116.00 | 24. S80-92-0325.00 |
| 5. S28-94-0991.00 | 15. S28-94-1096.00 | 25. S80-92-0144.00 |
| 6. S28-94-1093.00 | 16. S28-94-1008.00 | 26. S80-92-0314.00 |
| 7. S28-94-1094.00 | 17. 280-92-0312.00 | 27. S80-92-0323.00 |
| 8. S28-94-1003.00 | 18. S80-92-0004.00 | 28. S80-92-0380.00 |
| 9. S28-95-1150.00 | 19. S80-92-0147.00 | 29. S80-92-0502.00 |
| 10. S28-95-1133.00 | 20. S80-92-0670.00 | 30. S80-92-0748.00 |

The objective evidence reviewed for OCRWM HQ Contractor personnel is as follows:

1. S28-95-1161.00
2. S28-94-1078.00
3. S28-94-1050.00
4. S28-94-1016.00
5. S28-95-1129.00
6. S28-94-1028.00
7. S28-94-1031.00
8. S28-94-1040.00
9. S28-94-1114.00
10. S28-94-1074.00
11. S28-94-1047.00
12. S28-94-1057.00
13. S28-94-1020.00
14. S28-94-1035.00

Summary of Deficiencies

Corrective Action Report (CAR)

The surveillance team identified deficiencies during the surveillance resulting in the issuance of one Corrective Action Report (CAR) and five Deficiencies Reports (DRs). Deficiencies documented on the CAR and DRs are detailed below.

Open personnel Qualification Records Packages do not contain one or more of the following:

- a. Position Qualification Statement (PQS)
- b. Definition of Education Requirements
- c. Definition of Experience Requirements
- d. Documented Verification of Education
- e. Documented Verification of Experience
- f. Justification Statement for Education or Experience which could not be verified (as applicable).

Recommendations

In addition to recommended actions documented on CAR HQ-96-C-001, the following recommendations are presented for consideration by OCRWM management. The surveillance team recommends that:

1. For Federal Personnel, review and standardize position descriptions for consistency in education and experience requirements.
2. Prepare qualification package (separate from training package) for each new employee and close before beginning work activities.

10 SURVEILLANCE CONCLUSIONS

As a result of this compliance based surveillance, for the open and closed personnel qualification record packages reviewed, the results were found to be unsatisfactory.

LIST OF ATTACHMENTS

- Attachment 1: Personnel Contacted During the Surveillance
- Attachment 2: Results of DOE Quality Record Packages reviewed
- Attachment 3: Results of Contractor Quality Record Packages reviewed

ATTACHMENT 1

PERSONNEL CONTACTED DURING THE SURVEILLANCE

NAME	ORGANIZATION	TITLE	CONTACT
C. Lukasik	OHRA	Director, Human Resources Div.	X
G. Ruffin	M&O-OHRA	QRC Manager	X
R. Clark	OQA	Director, HQ Quality Assurance Div.	X

ATTACHMENT 2

QRP PACKAGE NO.	PQS IN PLACE	EDUCATION REQUIREMENTS DEFINED		EXPERIENCE REQUIREMENTS DEFINED		EDUCATION VERIFIED		EXPERIENCE VERIFIED		JUSTIFICATION FOR EDUCATION		JUSTIFICATION FOR EXPERIENCE	
		SYS 28	SYS 80	SYS 28	SYS 80	SYS 28	SYS 80	SYS 28	SYS 80	SYS 28	SYS 80	SYS 28	SYS 80
S28-94-1100.00 S80-92-0312.00	NO N/R	NO	N/A	NO	N/A	YES	N/A	YES	N/A	YES	N/A	YES	N/A
S28-95-1141.00 S80-92-0004.00	YES N/R	NO	NO	NO	NO	NOTE 1	NOTE 1	NOTE 1	NOTE 1	NO	NOTE 1	NO	NOTE 1
S28-95-1135.00 S80-92-0147.00	YES N/R	NO	YES	NO	YES	NO	NO	NO	YES	NO	NO	NO	YES
S28-94-0985.00 S80-92-0670.00	YES N/R	NO	NO	NO	NO	NO	NOTE 1	NOTE 1	NOTE 1	NO	NO	NO	NO
S28-94-0991.00 S80-92-0671.00	YES N/R	NO	NO	NO	NO	NO	NOTE 1	NO	NOTE 1	NO	NO	NO	NO
S28-94-1093.00 S80-92-0333.00	YES N/R	NO YES	YES	NO	YES	NO	YES	NO	YES	NO	N/A	NO	N/A
S28-94-1004.00 S80-92-0672.00	YES N/R	NO	NO	NO	NO	NO	NOTE 1	NO	NOTE 1	NO	NO	NO	NO
S28-94-1003.00 S80-92-0325.00	YES N/R	NO	NO	NO	NO	NO	NOTE 1	NO	NOTE 1	NO	NO	NO	NO

ATTACHMENT 2

S28-95-1150.00 S80-92-0144.00	YES N/R	NO	YES	NO	YES	NO	YES	NO	YES	NO	YES	NO	YES
S28-95-1133.00	YES	NO	N/A	NO	N/A	NO	N/A	NO	N/A	NO	N/A	NO	N/A
S28-94-0994.00 S80-92-0314.00	YES N/R	YES	YES	YES	YES	YES	YES	YES	YES	N/A	N/A	N/A	N/A
S28-94-0988.00 S80-92-0323.00	YES N/R	YES	YES	YES	YES	YES	YES	YES	YES	N/A	N/A	N/A	N/A
S28-94-0997.00 S80-92-0380.00	YES N/R	NO	NO	NO	NO	NOTE 1	NOTE 1	NOTE 1	NOTE 1	NO	NO	NO	NO
S28-94-1116.00 S80-92-0502.00	NO N/R	NO	YES	NO	YES	NO	NO	NO	YES	NO	NO	NO	NO
S28-94-1096.00 S80-92-0748.00	YES N/R	NO	YES	NO	YES	NOTE 1	YES	NOTE 1	YES	NO	N/A	NO	N/A
S28-94-1008.00	NO	NO	N/A	NO	N/A	NO	N/A	NO	N/A	NO	N/A	NO	N/A

NOTE 1: The verification of education and experience was indeterminate due to the absence of definition of education and experience from the System 28 and 80 packages.

ATTACHMENT 3

QRP PACKAGE NO.	PQS IN PLACE	EDUCATION RQMNTS DEFINED	EXPERIENCE RQMNTS DEFINED	EDUCATION VERIFIED	EXPERIENCE VERIFIED	JUSTIFICATION FOR EDUCATION/ EXPERIENCE IN PLACE
S28-95-1161.00	YES	NO	YES	NO	NO	NO
S28-94-1078.00	YES	YES	YES	NO	NO	NO
S28-94-1050.00	YES	YES	YES	NO	NO	NO
S28-94-1016.00	YES	YES	YES	YES	YES	YES
S28-95-1129.00	NO	NO	NO	NO	NO	NO
S28-94-1028.00	YES	YES	YES	YES	NOTE 1	NO
S28-94-1031.00	YES	YES	YES	YES	YES	N/A
S28-94-1040.00	YES	YES	YES	YES	YES	N/A
S28-94-1114.00	YES	YES	YES	YES	NO	NO
S28-94-1074.00	YES	YES	YES	NO	NO	NO
S28-94-1047.00	YES	YES	YES	YES	YES	N/A
S28-94-1057.00	YES	YES	YES	NO	YES	NO
S28-94-1020.00	YES	YES	YES	YES	NOTE 2	NO
S28-94-1035.00	YES	YES	YES	YES	NO	NO
NOTE 1: 10YRS REQUIRED 6YRS VERIFIED						
NOTE 2: 5YRS REQUIRED 1YR VERIFIED						