



**Department of Energy**

Washington, DC 20585

SEP 26 1997

QA: L

L. H. Barrett, Acting Director (RW-1)  
Office of Civilian Radioactive Waste Management  
U.S. Department of Energy, Headquarters  
Forrestal Building  
1000 Independence Avenue, SW  
Washington, DC 20585

**ISSUANCE OF DEFICIENCY REPORT (DR) YM-97-D-086 RESULTING FROM  
OFFICE OF QUALITY ASSURANCE (OQA) AUDIT OCRWM-ARC-97-23**

Enclosed is DR YM-97-D-086 generated as a result of OQA Audit OCRWM-ARC-97-23.

Please provide response to this deficiency that meets the applicable requirements of Administrative Procedure 16.1Q, Performance/Deficiency Reporting. Send the original of your response to Deborah Sult, OQA/QATSS, P.O. Box 30307, Mail Stop 455, North Las Vegas, Nevada 89036-0307. Response to the DR is due 20 working days from the date of this letter. Any extension to this due date must be requested in writing, with appropriate justification, prior to the due date.

If you have any questions, please contact either James Blaylock at (702) 794-1420 or Donald J. Harris at (702) 794-1467.

Donald G. Horton, Director  
Office of Quality Assurance

OQA:JB-2307

Enclosure:  
DRYM-97-D-086

*Recip: Nmss/PAHL*

*NH33  
wm-11  
10217*

9710010068 970926  
PDR WASTE  
WM-11 PDR



SEP 26 1997

L. H. Barrett

-2-

cc w/encl:

R. A. Milner, DOE/HQ (RW-2) FORS  
Ram Murthy, DOE/HQ (RW-3) FORS  
C. E. Weber, DOE/HQ (RW-3) FORS  
Samuel Rousso, DOE/HQ (RW-50) FORS  
C. M. Lukasik, DOE/HQ (RW-56) FORS  
J. O. Thoma, NRC, Washington, DC  
S. W. Zimmerman, NWPO, Carson City, NV

cc w/o encl:

W. L. Belke, NRC, Las Vegas, NV  
D. J. Harris, OQA/QATSS, Las Vegas, NV  
D. G. Sult, OQA/QATSS, Las Vegas, NV  
R. W. Clark, DOE/OQA, Las Vegas, NV

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

8  Performance Report  
 Deficiency Report

NO. YM-97-D-086

PAGE 1 OF 2

QA: L

**PERFORMANCE/DEFICIENCY REPORT**

1 Controlling Document:

HLP-2.1Q, Revision 0/ICN 3, Verification, Indoctrination, and Training of Personnel

2 Related Report No.

OCRWM-ARC-97-23

3 Responsible Organization:

Office of Civilian Radioactive Waste Management  
(OCRWM), Headquarters (HQ)

4 Discussed With:

Christine Lukasik, OCRWM HQ Training Officer

5 Requirement/Measurement Criteria:

A.) HLP-2.1Q, Revision 0, ICN 3, paragraph 5.6.1.e) states in part that the "Employee: Complete a Self-Study Sheet, Attachment 8, upon conclusion of any initial proficiency, maintenance, or special task self-study assignments."

B.) HLP-2.1Q, Revision 0, ICN 3, paragraph 5.7.1.a) states "Manager/Supervisor: Evaluate and assess the need for changes to proficiency or maintenance requirements based on changes to assignment, position, responsibilities, implementing document, or to reflect changes in technology or methods."

C.) HLP-2.1Q, Revision 0, ICN 3, paragraph 5.8.1 states "Manager/Supervisor: Notify the Training Officer via the TAS when an employee is: a) Realigned, b) Reassigned, c) Terminated, d) Detailed/Leave of Absence."

6 Description of Condition:

Contrary to the above requirements, the auditor determined by review of the following employee indoctrination and training files that objective evidence does not exist in the files to verify completion of Training Assignment Sheet (TAS) required training.

1. James Dolman: Formal classroom attendance for Training Modules TR01, Quality Assurance Program Orientation and TR109, Quality Assurance Requirements and Description Orientation.
2. Nancy Hardwick: Self-Study Sheets for AP 16.1 and AP 16.2, Revision 2, ICN 0.
3. Ronald Milner: Self-Study Sheets for procedure revisions issued since October 1996 (the date of the last self-study posted in his file). In addition, the file does not contain a revised TAS for his new position as required by procedure.

An interview with Christine Lukasik, OCRWM HQ Training Officer, revealed the HQ training personnel cannot access the Yucca Mountain Site Characterization Office training database to verify status/completion of training for HQ personnel. Therefore, the extent of this deficiency can only be determined by physical review of file contents.

7 Initiator

*Gary Wood*  
Gary Wood

Date 8/27/97

9 Is condition an isolated occurrence?

Yes  No  Unknown; Must be Yes if PR

10 Recommended Action: (Not required for PR)

1. Review the HQ personnel Indoctrination and Training files to determine the extent of the deficiency.
2. Identify those HQ personnel who have not completed their required initial proficiency and/or self-study proficiency training.
3. Determine if any of the personnel performed quality affecting work prior to completing their initial or self-study proficiency training.
4. Determine the impact of personnel not having completed their initial or self-study proficiency training on the quality affecting work.
5. Implement any required and appropriate corrective actions for the completed quality affecting work.
6. Implement corrective action to prevent recurrence.

11 QA Review:

QAR Gary Wood

Date 08/27/97

12 Response Due Date

20 working days from issuance

13 Director, OQA Issuance Approval: (QAR for PR)

Printed Name Donald G. Horton

Signature

*Donald G. Horton*

Date 9/24/97

22 Corrective Action Verified

QAR

Date

23 Closure Approved by: (N/A for PR)

DOQA

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

PR/DR NO. DR YM-97-D-086

PAGE 2 OF 2  
QA: L

PERFORMANCE/DEFICIENCY REPORT RESPONSE

14 Remedial Actions:

15 Extent of Condition: (Not required for PR)

16 Root Cause Determination: (Not required for PR)

Required  Yes  No

17 Action to Preclude Recurrence: (Not required for PR)

Required  Yes  No

18 Corrective Action Completion Due Date:

19 Response by:

20 Response Accepted

QAR

Date

21 Response Accepted (N/A for PR):

DOQA

Date