

CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES

CORRECTIVE ACTION REQUEST

CAR No: 2000-05

Associated AR, SR, NCR No: Audit 2000-1

PART A: DESCRIPTION OF CONDITION ADVERSE TO QUALITY: Training

There is no evidence to document that consultants have been provided copies of applicable procedures to assure they are aware of their responsibilities and requirements. Also, the documentation of training of CNWRA staff does not indicate the objective or contents of the training or a review by management to determine the need for retraining, as described in the USNRC Review Plan for HLW Repository QA Program Descriptions, 2.14 C and D.

Initiated by: D.W. Dunavant *DWD*

Date: 06/30/00

PART B: PROPOSED ACTION

Responsible Individual: B. MARRITO

Response Due:

7/31/2000

1) Extent of Condition:

See attached pages.

2) Root Cause:

See attached pages.

3) Remedial Action:

Proposed Completion Date: 8/30/2000

See attached pages.

4) Corrective Action to Preclude Recurrence:

Proposed Completion Date: 8/30/2000

See attached pages.

Element Manager: *Steve Martin*

Date: 7/31/2000

PART C: APPROVAL

Comments/Instructions

President *Wally White*Director of QA: *DW Dunavant*

Date: 7/31/2000

PART D: VERIFICATION OF CORRECTIVE ACTION IMPLEMENTATION

EMs and Directors provided to CNWRA QA lists identifying active consultants and applicable procedures to be sent. Procedure QAP-05 and QAP-007 were revised to more clearly describe initial assessment and retraining activities. Forms QAP-11 and DC-1-2 have been revised to more clearly document this information.

Verified by: *Michael E. Thurston*

Date: 8/30/2000

Distribution:

Original-CNWRA/QA DIRECTOR QA Records
 ORIGINATOR
 PRINCIPAL INVESTIGATORS
 ELEMENT MANAGERS
 TECHNICAL DIRECTOR / Directors
 CNWRA PRESIDENT

4.2/149

Corrective Action Request 2000-05

PART B: PROPOSED ACTION

1) Extent of Condition:

Part A of Correction Action Request (CAR) 2000-05 describes the condition adverse to quality in the area of training. "There is no evidence to document that consultants have been provided copies of applicable procedures to assure they are aware of their responsibilities and requirements. Also, the documentation of training of CNWRA staff does not indicate the objective or contents of training or a review by management to determine the need for training, as described in the U.S. NRC Review Plan for HLW Repository QA Program Descriptions, 2.14 C and D."

CNWRA Professional Personnel Qualification (PPQ)/Conflict of Interest (COI) records for consultants have been reviewed and in each case there is objective evidence they received Quality Assurance Indoctrination. That training is submitted in a package to each consultant and they sign a "Certification of CNWRA Quality Assurance Program General Indoctrination." The issue of training as part of the root cause has been identified in several of the CARs from the CNWRA 2000 audit. It appears to be part of the root cause of a recurring situation. It is clear that other formal training, including refresher training, needs to be provided to certain CNWRA staff as determined by Element Managers or cognizant Director. This training is important because it emphasizes the programmatic requirements applied to CNWRA technical work.

Although there has been no documented review by management to determine the need for retraining, the products received from CNWRA consultants have consistently been judged as high in quality by the CNWRA technical staff. Since there is a generic statement of work (SOW) that is provided to each consultant for their task, and CNWRA procedures provided if needed, each consultant works closely with their CNWRA counterpart to provide the desired product.

2) Root Cause:

Due to an oversight in providing adequate assessment of training on the CNWRA QAP-11 form, the record form did not provide for the documentation of the annual assessment of training requirements for each active consultant, SwRI staff member and CNWRA staff member in their individual folders. The practice of regular reviews was being accomplished through the annual documentation of assessment of satisfactory work by each of the Element Managers and the Directors, but the need for retraining was not being addressed.

3) Remedial Action:

Remedial action will consist of CNWRA QA contacting all Element Managers and cognizant Directors by electronic mail and requesting they make a clear determination of whether their active Element consultants have the appropriate procedures, guidance and the needed SOW. These documents define what actions they must take and their individual responsibilities to be able to provide a quality product to the CNWRA. Upon determination of these current training needs, the EM or cognizant Director will e-mail the CNWRA QA Director with the results of their assessment. A hard copy of that e-mail will be placed in the consultant's qualification folder to demonstrate assessment of training as appropriate and a copy of the identified procedure(s) will be sent to the consultant.

Proposed Completion Date: August 30, 2000

4) Corrective Action to Preclude Recurrence:

During the regular scheduled annual reviews for CNWRA staff, SwRI staff and consultants, the Element Manager or cognizant Director will assess their work/deliverables -- and if not satisfactory -- will not sign the revised CNWRA Professional Personnel Qualification and Training Record (QAP-11, 8/2000). If their work performance has been satisfactory, the PPQ&T Record will be signed. See attached copy of revised record form.

Retraining on procedures will be identified, as needed, by the Element Manager or the cognizant Director. If retraining is required, the CNWRA PPQ&T Record will not be signed until the required retraining has been completed. The Quality Indoctrination and Training Procedure (QAP-005) and Professional Personnel Qualification Procedure (QAP-007) will be revised to address these new requirements.

The CNWRA Director of QA will monitor the regular, monthly review process of CNWRA staff, SwRI staff and consultants PPQ&T/COI folders to ensure that the objective evidence of work assessment and training/retraining requirements are accomplished. A comprehensive training log of all consultants and CNWRA/SwRI staff is maintained and that log will be periodically checked to ensure appropriate training has been evaluated and documented on the Professional Personnel Qualification and Training Record, CNWRA Form QAP-11.

All controlled and uncontrolled quality assurance, technical and administrative operating procedures will be sent with a revised Document Transmittal, Training and Acknowledgment Record (CNWRA Form DC-1-2, 8/2000) to CNWRA staff, SwRI staff, consultants and subcontractors effective immediately. The acknowledgment records will be signed, dated and returned to CNWRA QA/Document Control by the recipient for objective evidence of training and procedural understanding in the applicable procedure folder. See attached copy of revised record form.

QA helps CNWRA core staff understand the procedural requirements on a regular basis as they arise. The core staff retraining will be assessed during the annual reviews of the PPQ&T Record by the cognizant Element Managers who are responsible for their technical performance.

Proposed Completion Date: August 30, 2000


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CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES

December 14, 2000

MEMORANDUM

TO: Corrective Action Folder for Audit 2000-1

FROM: Bruce Mabrito, Director of Quality Assurance 

SUBJECT: Evaluation of Proposed Corrective Action Responses

A review was performed on responses originally composed in July 2000 on the Corrective Actions Requests (CARs) which resulted from the annual CNWRA audit performed in June of the same year. During the review it became apparent that as further evaluation and work was performed in closing out the CARs, some of the originally described actions were no longer appropriate or applicable. It is the goal of this memorandum to explain some of the changes which occurred between what was originally planned and what actions were performed to close out the CARs. These changes are in line with CNWRA business practices and, in a sense, more in line with the performance-based quality program we at the CNWRA are implementing.

Most of the differences occur on the CARs in the areas identified as "Remedial Action" and/or in the area identified as "Corrective Action to Preclude Recurrence." We will discuss the differences between what was originally agreed to and what was actually performed in more detail below.

CAR 2000-01 Subject: Procurement Controls identified in NQA-1, 1986 were not addressed in QAP-016, and have not been followed.

In the 5th paragraph under Corrective Action to Prevent Recurrence a statement is made to "implement adequate formal training for all affected CNWRA staff and, if required, consultants and subcontractors on the provisions of 10 CFR 50, Appendix B, Criterion VII and, if necessary, those related to ANSI/ASME NQA-1, Element 7 concerning the acquisition of items and services." The statement goes on to state that this training can be part of the regular QA indoctrination for CNWRA staff members and, if appropriate, consultants and subcontractors. It also requires that the training will be documented on attendance/participation records.

Upon further evaluation it was recognized that consultants and subcontractors do not purchase items and materials effecting quality for the CNWRA, so therefore, training on critical procurement requirements is not appropriate or warranted. CNWRA staff were issued a revised QAP-016 procedure with a transmittal and receipt form in August 2000. The transmittal and receipt form provides documentation that CNWRA staff have read and understand the procedure containing the more recent procurement requirements. Although formal attendance records were originally required, the strategy of using transmittal and receipt records

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provides documented objective evidence that CNWRA staff had received and read the required procedure and understand the procedure contents.

CAR 2000-02 Subject: Scientific Notebooks were not compliant to the requirements of QAP-001.

Corrective Action to Preclude Recurrence state that Element Managers (EMs) are to do occasional informal checking of the Scientific Notebooks; QA will follow-up when Scientific Notebooks are issued to new employees, consultants, and subcontractors; and that EMs and the Director of QA will review scientific notebooks in the process of being archived at approximately six month intervals as they are submitted to QA records.

It will be difficult to produce objective evidence documentation showing that all these activities are being completed. As part of their managerial activities, EMs should be informally reviewing scientific notebooks of staff who work in areas for which they are responsible. During the extensive review of CNWRA scientific notebooks completed after the June 2000 audit, a heightened sense of ownership and responsibility was shown by CNWRA staff personnel for scientific notebooks and compliance to QAP-001. This commitment was also transferred to consultants and subcontractors who maintained notebooks for work being performed by them for the CNWRA Principal Investigators and EMs. CNWRA QA staff will continue to evaluate scientific notebooks during the periodic surveillances which are routinely performed in accordance with the CNWRA Surveillance Schedule. During the next 6 month recall of scientific notebooks, EMs and the Director of QA will continue their close review of scientific notebooks that are in the process of being archived.

CAR 2000-03 Subject: Documentation/Verification of Calculations

Corrective Actions to Preclude Recurrence contained five distinct recommendations of which two will be discussed here. The first area for discussion is contained in paragraph (iv) and states the requirements for performing a QAP-014, Documentation and Verification of Scientific and Engineering Calculations, should be made as early as possible. The recommendation also states that the required checks should be performed as "calculations proceed." Paragraph (v) of the recommendations states that EMs, the Technical Director, and the reviewers should be provided refresher training on the revised QAP-014.

Calculation verification reviews are performed when required as identified on the QAP-12-4 Form, Instructions To Technical Reviewers, which is signed by the cognizant EM. This form is initiated at the beginning of the review process and is just about as early as anyone would want to review calculations used to support data and/or conclusions contained in a deliverable document. Performing calculation reviews prior to work being completed on a deliverable product would be unproductive. The revised QAP-014 (dated 8/30/2000) was sent to appropriate CNWRA technical staff to replace their earlier version and to other CNWRA staff needing the procedure. Electronic training was sent out to technical staff to inform them of the changes to QAP-014. Again, formal CNWRA transmittal and receipt forms were used to document that staff personnel have received, read and understand the revised procedure.

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CAR 2000-05 Subject: Training Issues

The only change concerning this CAR is that the remedial action required copies of an e-mail from EMs to the Director of QA documenting the results of an assessment by the EMs be placed in each consultant's file. The EMs performed their assessment and informed the Director of QA but these e-mails, one e-mail from each EM, will be placed in the training file and not in each consultant's file.

CAR 2000-06 Subject: Ineffective Corrective Action

Since the 2000 audit in June, no corrective actions have been written and therefore it is too early to determine compliance with the responses described in the CAR. Some of the actions to preclude recurrence will have to be evaluated during the 2001 audit. A significant number of procedures have been revised to prevent recurrence of the unsatisfactory findings.

CAR 2000-07 Subject: Quality Planning

The Director of CNWRA QA, by attending the weekly management meetings and by making presentations at quarterly staff meetings, is continually keeping the staff aware of their individual responsibilities within the CNWRA quality assurance system. This individual responsibility is first presented to each employee during their Indoctrination to the Quality System as part of their new employee training.

In summary, significant changes have occurred within the quality assurance system, including the revision 4 to the CNWRA QA Manual (CQAM). These changes primarily addressed the modification of work routines and parts of the quality system which were not adequately described in the CQAM. Revisions to some of the most commonly used procedures at the CNWRA have also been made. With these and other changes implemented, it is our belief that the quality system is stronger, and more flexible, in the areas that were found deficient during the 2000 audit and the actions taken should prevent similar deficiencies from occurring again.

cc: QA Memos Folder
Each QA Audit 2000 CAR

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CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES

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MEMORANDUM

August 30, 2000

TO: QA Records Corrective Action Request 2000-05 Folder

FROM: Bruce Mabrito, Director of Quality Assurance 

SUBJECT: Closure of Corrective Action Request (CAR) 2000-05

REFERENCE: CAR 2000-05, Annual 2000 CNWRA QA Audit

This memorandum to the CAR 2000-05 folder is to document progress and closure of CAR 2000-05.

CAR 2000-05 was originated June 30, 2000 at the conclusion of the 2000 annual CNWRA QA Audit. Remedial actions and corrective actions to preclude recurrence have taken place in the past two months. CNWRA QA contacted all CNWRA Element Managers and cognizant Directors and requested they make a clear determination of whether their active consultants have appropriate procedures, guidance and the needed statement of work. Since the EM and Directors' staffs work with these consultants on a regular basis, they are able to determine which procedures are required by the consultants. The guidance and statements of work are provided separately. Procedures were sent to identified consultants, who will read them and return the CNWRA Acknowledgment Sheet attesting to their understanding of procedural requirements and represents official documentation of training.

The CNWRA Professional Personnel Qualification and Training Record (QAP-11, 8/2000) was revised to show an initial review of qualifications and experience, in addition to the annual assessment of training. QAP-007, Professional Personnel Qualification, was revised to further address and define this change. The CNWRA Document Transmittal, Training and Acknowledgment Record (DC-1-2, 8/2000) was also changed to reflect issuance of controlled and uncontrolled documents and take credit for the training aspect. The Quality Indoctrination and Training Procedure, QAP-005, was revised to include operating procedure training and an annual assessment of personnel training/retraining.

All uncontrolled and controlled quality assurance, technical and administrative operating procedures are now being sent with a Document Transmittal, Training and Acknowledgment Record to obtain objective evidence necessary to show receipt, understanding and training.

CNWRA QA continues to assist CNWRA technical staff in understanding the procedure requirements if question arise.

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CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES
PROFESSIONAL PERSONNEL QUALIFICATION AND TRAINING RECORD

NAME:

EMPLOYER:

FUNCTIONAL TITLE:

POSITION DESCRIPTION

EDUCATION:

EXPERIENCE:

SPECIALIZED SKILLS/TRAINING:

STATEMENT OF QUALIFICATIONS

EDUCATION:

EXPERIENCE:

SPECIALIZED SKILLS/TRAINING:

The above named individual's qualifications and experience have been evaluated and determined to meet the requirements of the Position Description.

CNWRA ELEMENT MANAGER & DIRECTOR

DATE

ASSESSMENT OF QUALIFICATIONS/TRAINING:

CNWRA DIRECTOR

DATE

CNWRA DIRECTOR

DATE

CNWRA DIRECTOR

DATE

CNWRA DIRECTOR

DATE

CNWRA DIRECTOR

DATE

**INSTRUCTIONS FOR COMPLETION
PROFESSIONAL PERSONNEL QUALIFICATION AND TRAINING RECORD**

1. Identify the individual by full name and employer. For SwRI employees, the Division number, such as SwRI/09, should be indicated.
2. Provide the functional title. The functional title should accurately reflect the position description by discipline/subdiscipline and level of expertise. Example functional titles: Geologist, Geochemist, Metallurgist, Hydrologist, etc.
3. Provide a detailed description of education, experience, training, and other pertinent requirements necessary to satisfactorily perform the job.
4. Summarize the education, experience, training, and other capabilities which establish the individual's qualifications. Resumes, curriculum vitae, and publications lists shall be referenced, as appropriate. All qualifications shall be supported by objective evidence in CNWRA or other SwRI files.
5. The cognizant Director shall review the position description, statement of qualifications, and other pertinent evidence to determine that the individual satisfies all requirements. If so, the Director shall sign and date the form.
6. The cognizant EM shall identify Operating Procedures and any special training for the individual to receive upon joining the CNWRA. The QA Director shall provide CNWRA QA Indoctrination. Once training has been completed, the cognizant Director shall sign and date the "Assessment of Qualification/Training" block.
7. The assessment of qualification/training through satisfactory performance, continuing education, and/or specific CNWRA training shall be verified annually by the EM/Director, as required, and documented by Director or President signature and date on the form.

**CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES
DOCUMENT TRANSMITTAL, TRAINING AND ACKNOWLEDGMENT RECORD**

TO:

FROM:

Document Control
CNWRA/Division 20
Southwest Research Institute
6220 Culebra Rd.
San Antonio, Texas 78238

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Date Sent:

Attached are the following CNWRA controlled or uncontrolled documents:

Document Number	Revision/ Change Number	Title

Instructions to Recipients:

1. Review and become familiar with the subject documents. Contact CNWRA QA by telephone at 210.522.5149 for additional training.
2. For revisions and changes, mark or discard the superseded documents or document pages and insert the current document or pages.
3. Sign and date the acknowledgment below attesting that the attached controlled or uncontrolled documents, revisions, or changes have been reviewed and understood, and that obsolete documents or pages have been removed.
4. Upon completion, return this form to CNWRA/Document Control/QA at the address indicated above within 30 days.

Acknowledged by

Date

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Subject: RE: CONSULTANT TRAINING REQUIREMENTS -- CAR 2000-02 ACTION

Date: Fri, 18 Aug 2000 10:33:21 -0500

From: Narasi Sridhar <nsridhar@swri.edu>

To: bmabrito@gargol.cnwra.swri.edu,

"Narasi Sridhar (nsridhar)" <nsridhar@gargol.cnwra.swri.edu>

CC: 'Janie Gonzalez' <jmgonzalez@gargol.cnwra.swri.edu>

1. Teofilo Abrajano: We do not plan to use him any more because of the closing of TWRS project. Therefore he does not need to be sent any procedures. For the past work, only QAP-002 is applicable to him.
2. Geri Becker: QAP-001, QAP-002, QAP-014, QAP-015, QAP-017, TOP-012
3. Fred Glasser: Not my area of responsibility. Belongs to English
4. Pauline Tolmach: We will not use her any more since TWRS project is going away.
5. Richard Vance: We will not use him since TWRS project is going away.
6. Michael Frank: We have not used him for two years and do not plan to use him any more because TWRS going away.

-----Original Message-----

From: Bruce Mabrito [mailto:bmabrito@gargol.cnwra.swri.edu]

Sent: Thursday, August 17, 2000 6:34 PM

To: Narasi Sridhar (nsridhar)

Cc: Janie Gonzalez

Subject: CONSULTANT TRAINING REQUIREMENTS -- CAR 2000-02 ACTION

05 62 8/25/2000

> > TO: N. SRIDHAR

> > FROM: B. MABRITO

> >

> > SUBJECT: CORRECTIVE ACTION/TRAINING

> > REF: CORRECTIVE ACTION REQUEST 2000-02

> >

> > To address CAR 2000-02, we have committed to having CNWRA Element

> > Managers/Directors make a clear determination of whether their "active

> > consultants" have the appropriate procedures, guidance and the statement

> > of work. Upon determination of these training needs, the EM

> > will e-mail the CNWRA QA Director with the results of their assessment,

> > for each person. A hard copy of that e-mail will be placed in the

> > consultant's qualification folder and the identified procedures will be

> > sent to the consultants for their receipt and acknowledgment of the

> > procedure and that they have read and understand the procedure.

> >

> > Listed below are the most utilized procedures of the CNWRA. Please

> > identify for each person listed below, which of the procedures or

> > special

> > training they must have to accomplish their task(s) for your Element on

> > your reply to this e-mail message. If you have any other consultants

> > working for you not listed below, please include them with the same

> > information. We need your response back before August 23, 2000. Thanks

> > for your cooperation and assistance.

> >

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- > > Most utilized CNWRA procedures:
- > > AP-001 Evaluation of Potential COI
- > > AP-015 Differing Professional Views
- > > QAP-001 Scientific Notebook Control
- > > QAP-002 Review of CNWRA Documents, Reports and Papers
- > > QAP-014 Documentation & Verification of Scien. & Eng. Calcs
- > > QAP-015 Qualification of Existing Data
- > > QAP-017 Drawing Control
- > > TOP-012 ID, Control, Storage, Handling, Shipping of Samples
- > > TOP-018 Development & Control of Scien. & Eng. Software
- >
- > > ANY OTHER CNWRA OPERATING PROCEDURES NEEDED?
- > >
- > > The consultants working in your Element are shown below. If there are
- > other consultants, please identify them and their procedural needs::
- > >
- > > Teofilo Abrajano:
- > >
- > > Geri Becker:
- > >
- > > Fredrik P. Glasser:
- > >
- > > Pauline Tolmach:

Richard Vance:

Michael Frank:

> ANY OTHER CONSULTANTS YOU CAN IDENTIFY AND THEIR NEEDS?

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05 65m 8/25/2000

Subject: RE: CONSULTANT TRAINING REQUIREMENTS -- CAR 2000-02 ACTION

Date: Fri, 18 Aug 2000 10:49:26 -0500

From: Henry Garcia <hgarcia@gargol.cnwra.swri.edu>

To: bmabrito@gargol.cnwra.swri.edu

CC: "Paul Maldonado (pmaldonado)" <pmaldonado@gargol.cnwra.swri.edu>, "Arnold Galloway (agalloway)" <agalloway@gargol.cnwra.swri.edu>

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Bruce,

We have not used, to my knowledge, and do not expect to use Emanuel Brod. We expect to use Jennie Paddock as our consultant and Sprint Paranet as our subcontractor -- employing Kevin Holtz. Moreover, we will continue to use NetForce as a subcontractor, however they will subcontract to the CNWRA (Div. 20) because their contract for service is with the Information Technology Center (Dept. 26) and NetForce bills them.

None of the individuals identified or the NetForce staff, to my knowledge, have been given any QA indoctrination or training. Let me know when and where you want to provide this training to Jennie Paddock and the applicable staffs of Spring Paranet and NetForce.

--Henry

-----Original Message-----

From: Bruce Mabrito [mailto:bmabrito@gargol.cnwra.swri.edu]

Sent: Thursday, August 17, 2000 9:35 PM

To: Henry Garcia (hgarcia)

Subject: CONSULTANT TRAINING REQUIREMENTS -- CAR 2000-02 ACTION

05 65m 8/25/2000

> > > SUBJECT: CORRECTIVE ACTION/TRAINING

> > > REF: CORRECTIVE ACTION REQUEST 2000-02

> > >

> > > To address CAR 2000-02, we have committed to having CNWRA Element Managers/Directors make a clear determination of whether their "active consultants" have the appropriate procedures, guidance and the statement

> > > of work. Upon determination of these training needs, the EM

> > > will e-mail the CNWRA QA Director with the results of their assessment,

> > > for each person. A hard copy of that e-mail will be placed in the consultant's qualification folder and the identified procedures will be

> > > sent to the consultants for their receipt and acknowledgment of the procedure and that they have read and understand the procedure.

> > >

> > > Listed below are the most utilized procedures of the CNWRA. Please identify for each person listed below, which of the procedures or special

> > > training they must have to accomplish their task(s) for your Element on

> > > your reply to this e-mail message. If you have any other consultants

> > > working for you not listed below, please include them with the same

> > > information. We need your response back before August 23, 2000.

Thanks

> > > for your cooperation and assistance.

05 65m 8/25/2000

05 65m 8/25/2000

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. > > >

> > > Most utilized CNWRA procedures:

> > > AP-001 Evaluation of Potential COI

> > > AP-015 Differing Professional Views

> > > QAP-001 Scientific Notebook Control

> > > QAP-002 Review of CNWRA Documents, Reports and Papers

> > > QAP-014 Documentation & Verification of Scien. & Eng. Calcs

> > > QAP-015 Qualification of Existing Data

> > > QAP-017 Drawing Control

> > > TOP-012 ID, Control, Storage, Handling, Shipping of Samples

> > > TOP-018 Development & Control of Scien. & Eng. Software

> >

> > > ANY OTHER CNWRA OPERATING PROCEDURES NEEDED?

> > >

> > > The consultants working in your Element are shown below. If there are
> > other consultants, please identify them and their procedural needs::

> > >

> > > Jennie Paddock:

> > >

> > > Emanuel Brod:

> > >

> > > Kevin Holtz:

> > >

> > > ANY OTHER CONSULTANTS YOU CAN IDENTIFY AND THEIR NEEDS?

reply: CONSULTANT TRAINING REQUIREMENTS -- CAR 2000-02 ACTION

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Subject: reply: CONSULTANT TRAINING REQUIREMENTS -- CAR 2000-02 ACTION

Date: Mon, 21 Aug 2000 13:21:01 -0500

From: English Percy <epercy@gargol.cnwra.swri.edu>


Organization: CNWRA

To: bmabrito@gargol.cnwra.swri.edu

Bruce,

My list is attached.

English

 GHGC Consultant list August 2000.wpd	Name: GHGC Consultant list August 2000.wpd Type: Corel WordPerfect 8 Document (application/x-unknown-content-type-W) Encoding: base64
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GHGC Consultant Training Procedures

Name	Status	Procedures Required	
Amit Armstrong	active	AP-001 QAP-001 QAP-014 TOP-018	Evaluation of Potential COI Scientific Notebook Control Documentation & Verification of Scien. & Eng. Calcs Development & Control of Scien. & Eng. Software
Oliver Chadwick	no active tasking		
Vladimir Cvetkovic	active	AP-001 QAP-001 QAP-014 TOP-018	Evaluation of Potential COI Scientific Notebook Control Documentation & Verification of Scien. & Eng. Calcs Development & Control of Scien. & Eng. Software
Jeffery Greathouse	active	AP-001 QAP-001 QAP-014 TOP-018	Evaluation of Potential COI Scientific Notebook Control Documentation & Verification of Scien. & Eng. Calcs Development & Control of Scien. & Eng. Software
David Groeneveld	no active tasking		
Alka Jain	active	AP-001 QAP-001 QAP-002 QAP-014 TOP-012	Evaluation of Potential COI Scientific Notebook Control Review of CNWRA Documents, Reports and Papers Documentation & Verification of Scien. & Eng. Calcs ID, Control, Storage, Handling, Shipping of Samples
William Murphy	active	AP-001 AP-015 QAP-001 QAP-002 QAP-014 TOP-012 TOP-018	Evaluation of Potential COI Differing Professional Views Scientific Notebook Control Review of CNWRA Documents, Reports and Papers Documentation & Verification of Scien. & Eng. Calcs ID, Control, Storage, Handling, Shipping of Samples Development & Control of Scien. & Eng. Software
Dani Or	active	AP-001 QAP-001 QAP-014 TOP-018	Evaluation of Potential COI Scientific Notebook Control Documentation & Verification of Scien. & Eng. Calcs Development & Control of Scien. & Eng. Software
Todd Rasmussen	no active tasking		

Richard Reeder	active	AP-001 QAP-001 QAP-014 TOP-012 TOP-018	Evaluation of Potential COI Scientific Notebook Control Documentation & Verification of Scien. & Eng. Calcs ID, Control, Storage, Handling, Shipping of Samples Development & Control of Scien. & Eng. Software
Ignacio Reyes	active	AP-001 QAP-001 TOP-012	Evaluation of Potential COI Scientific Notebook Control ID, Control, Storage, Handling, Shipping of Samples
Mrinal Sen	no active tasking		
Mohan Seth	active	AP-001 QAP-001 QAP-014 TOP-018	Evaluation of Potential COI Scientific Notebook Control Documentation & Verification of Scien. & Eng. Calcs Development & Control of Scien. & Eng. Software
Everett Shock	no active tasking		
Stuart Stothoff	active	AP-001 QAP-001 QAP-002 QAP-014 TOP-018	Evaluation of Potential COI Scientific Notebook Control Review of CNWRA Documents, Reports and Papers Documentation & Verification of Scien. & Eng. Calcs Development & Control of Scien. & Eng. Software
Dimitri Sverjensky	no active tasking		
Peter Angell	no active tasking		

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Subject: Re: reply: CONSULTANT TRAINING REQUIREMENTS -- CAR 2000-02 ACTION

05 62- 8/25/2000

Date: Tue, 22 Aug 2000 08:59:38 -0500

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From: English Percy <eparcy@gargol.cnwra.swri.edu>

Organization: CNWRA

To: bmabrito@gargol.cnwra.swri.edu

Glasser's contract is over and done. The period of performance ends 9/29/2000. I have no plans to use him in the future.

English

Bruce Mabrito wrote:

> Tom Mayces, who is bringing you some books right now, says: "Tell English not to forget Dr. Glasser!"

>

> He's like Radar in the Movie "Mash".

>

> Glasser.

Bruce

>

> English Percy wrote:

>

> > Bruce,

> >

> > My list is attached.

> >

> > English

> >

> >

> > -----
> > Name: GHGC Consultant list August 2000.wpd

> > GHGC Consultant list August 2000.wpd Type: Corel WordPerfect 8 Document
(application/x-unknown-content-type-WP8Doc)

> > Encoding: base64

Subject: Consultant Training
Date: Mon, 21 Aug 2000 15:08:02 -0500
From: John Russell <jrussell@swri.org>
Reply-To: jrussell@swri.edu
To: "Bruce Mabrito (bmabrito)" <bmabrito@gargol.cnwra.swri.edu>,
"Roseanne Ard (rard)" <rard@gargol.cnwra.swri.edu>
CC: "Patrick Laplante (plaplante)" <plaplante@gargol.cnwra.swri.edu>

Bruce,

The only consultant used in the Decommissioning Project is George Veni. He was used in the Task Order 02 work on Jefferson Proving Ground karst (cave) hydrogeology. We have not used him for over a year and do not plan to use him in the near future. He does not need training. I do not believe we need to retroactively fill out training on a QAP-011 for him. His consulting agreement should be inactivated, if it is not already inactive.

John.

05 65 8/25/2000

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05 65 8/25/2000

57/100

Subject: FW: CONSULTANT TRAINING REQUIREMENTS -- CAR 2000-02 ACTION

Date: Mon, 21 Aug 2000 15:36:03 -0500

From: Pat Mackin <pmackin@gargol.cnwra.swri.edu>

To: "Bruce Mabrito (bmabrito)" <bmabrito@gargol.cnwra.swri.edu>

CC: "Patrick Mackin (pmackin)" <pmackin@gargol.cnwra.swri.edu>

Bruce:

Please see my markup to your email below.

-----Original Message-----

From: Bruce Mabrito [mailto:bmabrito@gargol.cnwra.swri.edu]

Sent: Thursday, August 17, 2000 8:22 PM

To: Patrick Mackin (pmackin)

Subject: CONSULTANT TRAINING REQUIREMENTS -- CAR 2000-02 ACTION

05 65 8/25/2000

> > > SUBJECT: CORRECTIVE ACTION/TRAINING

> > > REF: CORRECTIVE ACTION REQUEST 2000-02

05 65 8/25/2000

> > >

> > > To address CAR 2000-02, we have committed to having CNWRA Element

> > > Managers/Directors make a clear determination of whether their "active

> > > consultants" have the appropriate procedures, guidance and the statement

> > > of work. Upon determination of these training needs, the EM

> > > will e-mail the CNWRA QA Director with the results of their assessment,

> > > for each person. A hard copy of that e-mail will be placed in the

> > > consultant's qualification folder and the identified procedures will be

> > > sent to the consultants for their receipt and acknowledgment of the

> > > procedure and that they have read and understand the procedure.

> > >

> > > Listed below are the most utilized procedures of the CNWRA. Please

> > > identify for each person listed below, which of the procedures or

> > > special

> > > training they must have to accomplish their task(s) for your Element on

> > > your reply to this e-mail message. If you have any other consultants

> > > working for you not listed below, please include them with the same

> > > information. We need your response back before August 23, 2000.

Thanks

> > > for your cooperation and assistance.

> > >

> > > Most utilized CNWRA procedures:

> > > AP-001 Evaluation of Potential COI

> > > AP-015 Differing Professional Views

> > > QAP-001 Scientific Notebook Control

> > > QAP-002 Review of CNWRA Documents, Reports and Papers

> > > QAP-014 Documentation & Verification of Scien. & Eng. Calcs

> > > QAP-015 Qualification of Existing Data

> > > QAP-017 Drawing Control

> > > TOP-012 ID, Control, Storage, Handling, Shipping of Samples

> > > TOP-018 Development & Control of Scien. & Eng. Software

> > >

> > > ANY OTHER CNWRA OPERATING PROCEDURES NEEDED?

05 BSM 8/25/2000

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> > >

> > > The consultants working in your Element are shown below. If there are
> > other consultants, please identify them and their procedural needs::

> > >

> > > Steven Abt:AP 001 and 015, QAP 002

> > >

> > > Samuel Atkinson:AP 001 and 015, QAP 002

> > >

> > > Larry Canter:AP 001 and 015, QAP 002

> > >

> > > Eileen Johnson: Please inactivate

> James Jonish: AP 001 and 015, QAP 002>

> Paul Mayo: AP 001 and 015, QAP 002

Lloyd Urban: Please inactivate

B. Russell: AP 001 and 015, QAP 002

C. Thornton: Please inactivate

D. Groneveld: Please inactivate, English Percy may still have need for him.

F. Skillern: Please inactivate

I believe all the consultants listed above whom I have not asked to
inactivate, have signed for reading these procedures.

Pat

> ANY OTHER CONSULTANTS YOU CAN IDENTIFY AND THEIR NEEDS?

05 8/25/2000

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05 8/25/2000

Subject: Re: CONSULTANT TRAINING REQUIREMENTS -- CAR 2000-02 ACTION

Date: Mon, 21 Aug 2000 20:57:46 -0500

From: Bruce Mabrito <bma@gargol.cnwra.swri.edu>

Organization: CNWRA

To: bmabrito@gargol.cnwra.swri.edu

Bruce,
See Below.

Bruce Mabrito wrote:

>>>> SUBJECT: CORRECTIVE ACTION/TRAINING
>>>> REF: CORRECTIVE ACTION REQUEST

>>>>

>>>> Thanks

>> for your cooperation and assistance.

>>>>

>>>> Most utilized CNWRA procedures:

>>>> AP-001 Evaluation of Potential COI

>>>> AP-015 Differing Professional Views

>>>> QAP-001 Scientific Notebook Control

>>>> QAP-002 Review of CNWRA Documents, Reports and Papers

>>>> QAP-014 Documentation & Verification of Scien. & Eng. Calcs

>>>> QAP-015 Qualification of Existing Data

>>>> QAP-017 Drawing Control

>>>> TOP-012 ID, Control, Storage, Handling, Shipping of Samples

>>>> TOP-018 Development & Control of Scien. & Eng. Software

>>>>

>>>> ANY OTHER CNWRA OPERATING PROCEDURES NEEDED?

>>>>

>>>> The consultants working in your Element are shown below. If there are

>>>> other consultants, please identify them and their procedural needs::

>>>>

>>>> Randolph Folck: -- Randy Folck needs to have a copy of TOP-018, QAP-004,
> and QAP-001. All other procedures he will be provided copies of on an as needed
> basis.

>>>>

>>>> Randall Manteufel -- R. Manteufel needs no documents or procedures since he
> currently works on the SwRI audit team and receives his instruction from them. :

>>>>

>>>> Diane Smith:-- D. Smith needs no documents or procedures since she works on
> the SwRI audit team and receives her instructions from them.

>

> William Thomann: -- W. Thomann needs no documents or procedures since
> he works on the SwRI audit team and receives his instructions from them.

Bruce Mabrito

>

>

>> ANY OTHER CONSULTANTS YOU CAN IDENTIFY AND THEIR NEEDS?

05 65 8/25/2000

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05 65 8/25/2000

Subject: FW(2): CONSULTANT TRAINING REQUIREMENTS -- CAR 2000-02 ACTION**Date:** Tue, 22 Aug 2000 15:01:43 -0500**From:** Asadul Chowdhury <achowdhury@gargol.cnwra.swri.edu>**To:** "Bruce Mabrito (bmabrito)" <bmabrito@gargol.cnwra.swri.edu>**CC:** "Asadul Chowdhury (achowdhury)" <achowdhury@gargol.cnwra.swri.edu>

Bruce:

My response is given against the name of
each consultant/subcontractor:

Asad

-----Original Message-----

From: Bruce Mabrito [mailto:bmabrito@gargol.cnwra.swri.edu]**Sent:** Thursday, August 17, 2000 9:27 PM**To:** Asadul Chowdhury (achowdhury)**Cc:** Cheryl Patton (cpatton)**Subject:** CONSULTANT TRAINING REQUIREMENTS -- CAR 2000-02 ACTION

05 65 8/25/2000

>>> TO:

A. Chowdhury
N. SRIDHAR

>>> FROM:

B. MABRITO

>>>

>>> SUBJECT: CORRECTIVE ACTION/TRAINING

>>> REF: CORRECTIVE ACTION REQUEST 2000-02

>>>

>>> To address CAR 2000-02, we have committed to having CNWRA Element
>>> Managers/Directors make a clear determination of whether their "active
>>> consultants" have the appropriate procedures, guidance and the
statement

>> of work. Upon determination of these training needs, the EM

>>> will e-mail the CNWRA QA Director with the results of their
assessment,>>> for each person. A hard copy of that e-mail will be placed in the
>>> consultant's qualification folder and the identified procedures will
be>>> sent to the consultants for their receipt and acknowledgment of the
>>> procedure and that they have read and understand the procedure.

>>>

>>> Listed below are the most utilized procedures of the CNWRA. Please
>>> identify for each person listed below, which of the procedures or
special>>> training they must have to accomplish their task(s) for your Element
on

>>> your reply to this e-mail message. If you have any other consultants

>>> working for you not listed below, please include them with the same

>>> information. We need your response back before August 23, 2000.

Thanks

>>> for your cooperation and assistance.

>>>

>>> Most utilized CNWRA procedures:

>>> AP-001 Evaluation of Potential COI

>>> AP-015 Differing Professional Views

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05 65 8/25/2000

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- >>> QAP-001 Scientific Notebook Control
>>> QAP-002 Review of CNWRA Documents, Reports and Papers
>>> QAP-014 Documentation & Verification of Scien. & Eng. Calcs
>>> QAP-015 Qualification of Existing Data
>>> QAP-017 Drawing Control
>>> TOP-012 ID, Control, Storage, Handling, Shipping of Samples
>>> TOP-018 Development & Control of Scien. & Eng. Software
>>> ANY OTHER CNWRA OPERATING PROCEDURES NEEDED?
>>> The consultants working in your Element are shown below. If there are
>> other consultants, please identify them and their procedural needs::
>>> Barry Brady: Contract expired, it will be renewed in near
future and at that time appropriate procedures
will be identified and given to him consistent with SOW.
>>> Hyung-Jin Choi: Has QAP-001.
>>> Mark Christianson: Does not need any CNWRA procedure.
>>> John Hadjigeorgiou: Has QAP-001.
> John Kemeny: Inactive, contract expired.
> Young-Uk Kim: Has QAP-001.
Theodor Krauthammer: Has QAP-001.
David Montague: Does not need any CNWRA procedure.
Graham Mustoe: Inactive, contract expired.
Huizhez Song: Inactive, contract expired.
Kot von Unrug: Inactive, contract expired.
Mikko Ahola: Has QAP-001.
Amvrossios Bagtzoglou: Ron Green is checking.

ANY OTHER CONSULTANTS YOU CAN IDENTIFY AND THEIR NEEDS?

- Gen-Hua Shi: Has QAP-001.
Danny Or: Contract expired, to be renewed in
the near future, procedure will be identified
at that time, consistent with SOW.

05 65m 8/25/2000

05 65m 8/25/2000

Subject: Re: CONSULTANT TRAINING REQUIREMENTS – CAR 2000-02 ACTION

Date: Fri, 25 Aug 2000 12:12:48 -0500

From: Larry McKague <lmckague@gargol.cnwra.swri.edu>

Organization: CNWRA

To: bmabrito@gargol.cnwra.swri.edu

CC: "Rebecca Emmot (remmot)" <remmot@gargol.cnwra.swri.edu>,
"Brittain Hill (bhill)" <bhill@gargol.cnwra.swri.edu>,
John Stamatakis <jstam@gargol.cnwra.swri.edu>

Bruce Mabrito wrote:

>>>>> SUBJECT: CORRECTIVE ACTION/TRAINING 05 65m 8/25/2000
>>>>> REF: CORRECTIVE ACTION REQUEST 2000-02
>>>>>
>>>>> To address CAR 2000-02, we have committed to having CNWRA Element
>> Managers/Directors make a clear determination of whether their "active
>>>>> consultants" have the appropriate procedures, guidance and the statement
>> of work. Upon determination of these training needs, the EM
>>>>> will e-mail the CNWRA QA Director with the results of their assessment,
>>>>> for each person. A hard copy of that e-mail will be placed in the
>>>>> consultant's qualification folder and the identified procedures will be
>>>>> sent to the consultants for their receipt and acknowledgment of the
>>>>> procedure and that they have read and understand the procedure.
>>>>>
>>>>> Listed below are the most utilized procedures of the CNWRA. Please
>>>>> identify for each person listed below, which of the procedures or special
>>>>> training they must have to accomplish their task(s) for your Element on
>>>>> your reply to this e-mail message. If you have any other consultants
>>>>> working for you not listed below, please include them with the same
>>>>> information. We need your response back before August 23, 2000. Thanks
>> for your cooperation and assistance.
>>>>>
>>>>> Most utilized CNWRA procedures:
>>>>> AP-001 Evaluation of Potential COI
>>>>> AP-015 Differing Professional Views
>>>>> QAP-001 Scientific Notebook Control
>>>>> QAP-002 Review of CNWRA Documents, Reports and Papers
>>>>> QAP-014 Documentation & Verification of Scien. & Eng. Calcs
>>>>> QAP-015 Qualification of Existing Data
>>>>> QAP-017 Drawing Control
>>>>> TOP-012 ID, Control, Storage, Handling, Shipping of Samples
>>>>> TOP-018 Development & Control of Scien. & Eng. Software
>>>>>
>>>>> ANY OTHER CNWRA OPERATING PROCEDURES NEEDED?
>>>>>
>>>>> The consultants working in your Element are shown below. If there are
>>>>> other consultants, please identify them and their procedural needs::
>>>>>
>>>>> Peter Baxter: None Will probably doing very little if any work for us. If
> used it would be in the role of a senior advisor.
>>>>>
>>>>> Onno Bokhove: QAP -001, 002, 014
>>>>>
>>>>> Jonathon Caine: QAP -001
>>>>>

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>>>>> Christopher Condit: Inactive
>>>
>>>> F.M. Conway: QAP - 001
>>>>
>>>> Craig Foster: QAP - 001
>>>>
>>> Juliet Crider: QAP -001, 002, -014
>>
>> Timothy Dixon: QAP - 001
>>
>> Raymond Donelick: QAP -001
>>
>> William Dunne: QAP -001
>>
>> James Evans: QAP -001
>>
>> Mark Evans: QAP -001
>>
>> Mary Gray: QAP -001
>>
>> Kenneth Kodama: QAP -001
>>
>> Lena Krutikov: QAP -001
>>
>> Peter LaFemina: QAP -001
>
> Anne LeJeune:QAP -001
>
> James Luhr: None. If used it would be in the role of a senior advisor
> and as coauthor on publication with Britt Hill, who would handle any QA tasks. Note
> except for preparation of manuscript work has been completed.
>
> Randall Marrett: QAP -001 - Currently inactive preparing package for
> internal review
>
> Martin McCann: QAP - 001, 002, 014
>
> Alan Morris: QAP -001, -002, -014
>
> Kenneth Ridgway: QAP -001
>
> Kay Robbins: None Will not be used on NRC work. When used it would be
> in the role of a senior advisor. Participant in proposal preparation
>
> Kevin Smart: QAP - 001, 002, 014
>
> Steven Sparks: None. If used it would be in the role of a senior
> advisor.
>
> Fumiko Tajima: Inactive
>
> Robert Terhune: QAP-002, 014
>
> John Weber: None Would be used only in WFO work specifically in
> participation in preparing a joint proposal
>
> John Wickham: None - Has a very specific task to review specific

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- > dimensional approaches tfor dynamic scaling and analog modeling.
- >
- > Allan Woodbury: Don't know
- >
- > Andrew Woods: None. If used it would be in the role of a senior
- > advisor.
- >
- > David Woolhiser: Don't know - English's consultant
- >
- > Chen Zhu: Don't know
- >
- > Charles Bohman: Don't know
- >
- > Pierre Julien: Don't know
- >
- > > ANY OTHER CONSULTANTS YOU CAN IDENTIFY AND THEIR NEEDS?

P Zeitler QAP - 001

R Chin QAP-001

Larry mcKague <lmckague>

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Subject: Re: CONSULTANT TRAINING REQUIREMENTS -- CAR 2000-02 ACTION

Date: Fri, 25 Aug 2000 16:16:33 -0500

From: Gordon William Wittmeyer <gwittmeyer@gargol.cnwra.swri.edu>

Organization: CNWRA

To: bmabrito@gargol.cnwra.swri.edu

Bruce:

My active consultants are: Stan Kaplan, Bayesian Systems, and Ron Rice.

I believe that Bayesian Systems and Ron Rice have received appropriate training on QAP-001 and TOP-018. I am not sure about Stan Kaplan. See below for more detail.

Gordon

Bruce Mabrito wrote:

>>>>>> SUBJECT: CORRECTIVE ACTION/TRAINING 05 8/25/2000
 >>>>>> REF: CORRECTIVE ACTION REQUEST 2000-02
 >>>>>>
 >>>>>> To address CAR 2000-02, we have committed to having CNWRA Element
 >> Managers/Directors make a clear determination of whether their "active
 >>>>>> consultants" have the appropriate procedures, guidance and the statement
 >> of work. Upon determination of these training needs, the EM
 >>>>>> will e-mail the CNWRA QA Director with the results of their assessment,
 >>>>>> for each person. A hard copy of that e-mail will be placed in the
 >>>>>> consultant's qualification folder and the identified procedures will be
 >>>>>> sent to the consultants for their receipt and acknowledgment of the
 >>>>>> procedure and that they have read and understand the procedure.
 >>>>>> Listed below are the most utilized procedures of the CNWRA. Please
 >>>>>> identify for each person listed below, which of the procedures or special
 >>>>>> training they must have to accomplish their task(s) for your Element on
 >>>>>> your reply to this e-mail message. If you have any other consultants
 >>>>>> working for you not listed below, please include them with the same
 >>>>>> information. We need your response back before August 23, 2000. Thanks
 >> for your cooperation and assistance.
 >>>>>>
 >>>>>> Most utilized CNWRA procedures:
 >>>>>> AP-001 Evaluation of Potential COI
 >>>>>> AP-015 Differing Professional Views
 >>>>>> QAP-001 Scientific Notebook Control
 >>>>>> QAP-002 Review of CNWRA Documents, Reports and Papers
 >>>>>> QAP-014 Documentation & Verification of Scien. & Eng. Calcs
 >>>>>> QAP-015 Qualification of Existing Data
 >>>>>> QAP-017 Drawing Control
 >>>>>> TOP-012 ID, Control, Storage, Handling, Shipping of Samples
 >>>>>> TOP-018 Development & Control of Scien. & Eng. Software
 >>>>>>
 >>>>>> ANY OTHER CNWRA OPERATING PROCEDURES NEEDED?
 >>>>>>
 >>>>>> The consultants working in your Element are shown below. If there are
 >>>>>> other consultants, please identify them and their procedural needs::
 >>>>>>
 >>>>>> Vincent Covello: Not active any more. Taught a class.
 >>>>>>
 >>>>>> Joanne Damours: Part of Bayesian. Received QAP-001 and TOP-018

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>>>>>>
>>>>>> Ghislain de Marsily: Not active.
>>>>>>
>>>>>> John Emmerling: See Joanne Damours.
>>>>
>>>> Rahim Ghanooni: Not active.
>>>>
>>>> Stan Kaplan: Active, should have QAP-001 and TOP-018.
>>>>
>>>> Robert Kelly: Inactive.
>>>
>>> Gerald Ouzounia: Inactive.
>>>
>>> Kevin Poor: Inactive.
>>>
>>> Douglas Reingold: See Joanne Damours
>>>
>>> Robert Rice: Active, QAP-001 and TOP-018.
>>>
>>> Arthur Rood: ?????
>>>
>>> Akshai Runchal: Inactive.
>>>
>>> Barry Serini: Inactive.
>>>
>>> Brian Thompson: Inactive.
>>>
>>> David Thorne: Inactive.
>>
>> Frits van Dorp: Inactive.
>>
>> Ward Whicker: Inactive.
>>
>> Chester Watson: ????.
>>
>> ANY OTHER CONSULTANTS YOU CAN IDENTIFY AND THEIR NEEDS?

Subject: TRAINING: QAP-005, QUALITY INDOCTRINATION AND TRAINING

Date: Thu, 24 Aug 2000 12:58:24 -0500

From: Bruce Mabrito <bmabrito@gargol.cnwra.swri.edu>

Organization: CNWRA

To: STAFF_GROUP <STAFF_GROUP@gargol.cnwra.swri.edu>

Quality Assurance Procedure-005, Quality Indoctrination and Training, Revision 2 has been distributed to CNWRA Management staff. The purpose of the procedure is to describe the methods used to provide for QA indoctrination, training and maintenance of CNWRA personnel proficiency.

The primary changes to this procedure are the following:

1. Reinforcing the responsibility for the Director of QA (or QA staff) to provide QA Program indoctrination and determining the need for additional QA training. Reinforcing the responsibility of the cognizant Element Manager to assure that applicable procedures are distributed to affected personnel and for the evaluation of training needs and to provide supplementary training as necessary.
2. Allowing training by electronic mail.
3. Permitting training through required reading of holders of both controlled and uncontrolled Operating Procedure documents and the documentation will be the signed statement on the Controlled Document Transmittal.
4. The cognizant Principal Investigator is to provide experimental and test personnel with copies of applicable procedures and require reading of those documents prior to the initiation of activities.
5. Need for retraining will be assessed during the annual reviews and the review will be documented on the Professional Personnel Qualification and Training Record, form QAP-11.
6. Training records shall be maintained as formal QA records and maintained as a permanent record (this is not a change from the previous revision, but is re-emphasized).

If you have questions, please contact Bruce Mabrito at ext. 5149.

Subject: REVIEW OF QAP-001, S/N CONTROL FOR POSSIBLE REVISION**Date:** Fri, 25 Aug 2000 21:20:35 -0500**From:** Bruce Mabrito <bmaabrito@gargol.cnwra.swri.edu>**Organization:** CNWRA**To:** "Bruce Mabrito (bmaabrito)" <bmaabrito@gargol.cnwra.swri.edu>**CC:** "MEhnstrom@swri.edu" <MEhnstrom@swri.edu>,
Randy Folck <rfolck@satx.rr.com>,
"TMayces@swri.edu" <TMayces@swri.edu>

Corrective Action Request 2000-06, specifically referring to Corrective Actions and the lack of effectiveness thereof, identified the need to concentrate on certain issues, including scientific notebooks, and the related procedure, QAP-001, Scientific Notebook Control. The purpose of this e-mail memorandum is to document the review that has taken place regarding QAP-001.

For the five weeks, there has been extensive checking of CNWRA scientific notebooks by CNWRA QA staff and Element Managers. Although there have been findings in the area of "cross-outs" not initialed, lack of exact wording "ending statements" in the notebooks, and other minor scientific notebook procedural errors, there is nothing that was seen in these checks that could affect the technical quality of the data incorporated.

This specific review is therefore to determine whether or not the Scientific Notebook Control Procedure, QAP-001, is in need of being revised to make it more understandable and readable.

Based on the comments from the CNWRA technical staff in reaction to the recent scientific notebook checking, it is apparent that they generally understand the QAP-001 procedure and need to be "better encouraged" to follow the requirements. The general operating procedure philosophy at the CNWRA is to change a procedure only when needed to more clearly convey a requirement. In this case, it appears that the procedure is written clearly enough and that a revision is not needed. To change a procedure too often, so that it cannot be fully described to staff or implemented effectively, can be as detrimental as not changing a procedure when changes are definitely needed.

In addition, several of the CNWRA Element Managers have been contacted and they do not believe it would benefit their respective staffs to have QAP-001 revised at this time. The consensus of the QA staff involved in this process also believe that the procedure can be effective in its current form, without revision.

A hard copy of this e-mail message will be placed in the CAR 2000-06 packet to document this review. At the present time, no revision to QAP-001 appears to be needed or warranted following this review.



Bruce Mabrito
QA Director
CNWRA/SwRI

Subject: TRAINING: Related to CAR 2000-05

Date: Tue, 29 Aug 2000 14:09:12 -0500

From: Bruce Mabrito <bmaabrito@gargol.cnwra.swri.edu>

Organization: CNWRA

To: "Asadul Chowdhury (achowdhury)" <achowdhury@gargol.cnwra.swri.edu>,
"English Percy (epearcy)" <epearcy@gargol.cnwra.swri.edu>,
Gordon Wittmeyer <gwitt@gargol.cnwra.swri.edu>,
"Narasi Sridhar (nsridhar)" <nsridhar@gargol.cnwra.swri.edu>,
"Lawrence Mckague (lmckague)" <lmckague@gargol.cnwra.swri.edu>

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All:

This message to Element Managers and others is to inform you that the CNWRA is shipping out to the individuals listed below controlled or uncontrolled CNWRA procedures. No letter is being sent with them, but it is clear from the Acknowledgment Page that the individual should sign and date and return the page to the CNWRA Document Control section.


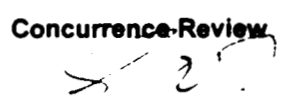


This is part of the corrective action required for CAR 2000-05 which dealt primarily with TRAINING.

Please review the list below and have your CNWRA staff member (or yourself) mention to the individual that this procedure will be arriving shortly and we would appreciate a prompt turnaround with their signature and date. Thank you for this assistance.

Bruce Mabrito

Dr. Kenneth Ridgway
Dr. John Hadjigeorgiou
Mr. Paul Mayo
Dr. Dani Or
Dr. Mohan Seth
Dr. Stuart Stothoff
Dr. Amit Armstrong
Dr. Jeffery Greathouse
Dr. Stan Kaplan
Mr. Robert Rice
Ms. Joanne Damours
Mr. Jonathan Caine
Mr. Craig Forster
Dr. William Dunne
Mr. James Evans
Dr. Mark Evans
Dr. Mary Beth Gray
Mr. Peter LaFemina
Mr. Martin McCann
Dr. Alan Morris
Dr. Kevin Smart
Mr. Robert Terhune
Mr. Steven Abt
Applied Becker Consulting
Dr. Gen-Hua Shi
Mr. Mikko Ahola

A copy of this e-mail note will be copied and put with CAR 2000-05/Training.

CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES QUALITY ASSURANCE PROCEDURE		Proc. <u>QAP-005</u> Revision <u>2</u> Change <u>0</u> Page <u>1</u> of <u>4</u>	
Title <p style="text-align: center;">QAP-005 QUALITY INDOCTRINATION AND TRAINING</p>			
EFFECTIVITY AND APPROVAL			
Revision <u>2</u> of this procedure became effective on <u>8/23/2000</u> . This procedure consists of the pages and changes listed below.			
<u>Page No.</u>	<u>Change</u>	<u>Date Effective</u>	
All	0	8/23/2000	
Supersedes Procedure No. QAP-005, Rev. 1, Chg 0 dated 10/11/95			
Approvals			
Written By  MARK EHNSTROM	Date 8/23/2000	Concurrence-Review  ENGLISH PEARCY	Date 8/23/2000
Quality Assurance  BRUCE MABRITO	Date 8/22/2000	Cognizant Director  HENRY GARCIA	Date 8/22/2000

CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES

QUALITY ASSURANCE PROCEDURE

Proc. QAP-005

Revision 2 Change 0

Page 2 of 4

QAP-005 QUALITY INDOCTRINATION AND TRAINING

1. PURPOSE

The purpose of this procedure is to describe the methods used to provide for Quality Assurance (QA) indoctrination, training, and maintenance of Center for Nuclear Waste Regulatory Analyses (CNWRA) personnel proficiency. This procedure implements the requirements of CNWRA Quality Assurance Manual (CQAM) section 2.

2. RESPONSIBILITY

- (i) The Director of QA is responsible for developing QA Program indoctrination materials and for determining the need for additional QA Program training.
- (ii) The cognizant Element Manager is responsible for assuring that applicable procedures are distributed to affected personnel, for the evaluation of training needs and for providing supplementary training as necessary.
- (iii) The cognizant Principal Investigator is responsible for providing applicable procedures to experimental and test personnel and assuring any type of training as necessary.
- (iv) Holders of controlled and uncontrolled documents, including Technical, QA and Administrative Operating Procedures, are responsible for reading and understanding and implementing those documents.

3. PROCEDURE

3.1 QA Program Indoctrination

- 3.1.1 Affected CNWRA personnel, key Southwest Research Institute (SwRI) personnel, and contractor/consultant personnel, as determined by the Technical Director and the Director of QA, shall receive indoctrination to the requirements of the CNWRA QA Program by means of presentations and/or written instructions, including by electronic mail. If presentations are made, attendance lists or individual acknowledgment sheets will be completed.
- 3.1.2 Documented instruction programs shall be developed for verbal and/or written presentation which contain, as a minimum, the following elements.
 - (i) Discussion of the 18 criteria in 10 CFR 50, Appendix B applicable to CNWRA activities, and the corresponding elements of NQA-1 and the CQAM.

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- (ii) Discussion of the CNWRA organization, interfaces with the Nuclear Regulatory Center (NRC), SwRI and contractors/consultants, and the quality responsibilities of all personnel.
- (iii) Discussion of the QA program documents, methodology for QA implementation, and the conduct of quality verification and inspection activities at the CNWRA.
- (iv) Explanation of the authorities and duties of the QA staff and of the responsibility of all personnel in identifying and reporting nonconformances and conditions adverse to quality.

3.1.3 Personnel shall receive quality program indoctrination prior to performing activities affecting quality, and upon major revision of the CQAM. Additional indoctrination shall be provided as determined necessary by the Director of QA.

3.1.4 Indoctrination shall be documented on attendance sheets, on the certification page of the CNWRA QA Program General Indoctrination, or by electronic mail which can be printed out and retained as a record.

3.2 Operating Procedure Training

3.2.1 Training for specific requirements of Technical, QA and Administrative Operating Procedures shall be accomplished by distribution to responsible personnel (including contractors/consultants) and required reading of those documents. Personnel shall be provided with applicable Operating Procedures as determined by their Element Manager.

3.2.2 Training (through required reading) for holders of controlled and uncontrolled copies of Operating Procedures shall be documented by a signed statement on the "Controlled Document Transmittal, Training and Acknowledgment Record," CNWRA Form DC-1-2.

3.2.3 Additional specialized training shall be provided as determined necessary by the Element Manager or Principal Investigator for procedures and methods requiring unusual skills and/or training.

3.2.4 The cognizant Principal Investigator shall provide experimental and test personnel with copies of applicable procedures and require reading of those documents prior to the initiation of activities. This required reading shall be documented by signing and dating the Document Transmittal, Training and Acknowledgment Record, CNWRA Form DC-1-2.

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- 3.2.5 A comprehensive training log of all consultants and CNWRA staff shall be maintained and that log will be periodically checked by CNWRA QA to ensure appropriate training has been evaluated and documented on the Professional Personnel Qualification and Training Record, CNWRA Form QAP-11.





3.3 Retraining

- 3.3.1 Retraining of Professional Personnel on applicable or revised procedures will be identified, as needed, by the Element Manager or the QA Director.

- 3.3.2 Retraining can occur at anytime but, at a minimum, will be assessed during annual reviews. These reviews will be documented on the Professional Personnel Qualification and Training Record, Form QAP-11 in accordance with QAP-007, Professional Personnel Qualification

4. RECORDS

- (i) QA Program training material shall be maintained as QA records in accordance with CQAM section 17 and retained as a permanent record.
- (ii) CNWRA Form DC-1-2, Document Transmittal, Training and Acknowledgment Record," shall be retained as a QA record for the period specified in QAP-012, "QA Records Control."
- (iii) Scientific Notebooks shall be retained as QA records for the period specified in QAP-012, "QA Records Control."
- (iv) Printed electronic mail messages containing objective evidence of Indoctrination or Training shall be retained as a QA Records for the period specified in QAP-012, "QA Records Control."

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Title <p style="text-align: center;">QAP-007 PROFESSIONAL PERSONNEL QUALIFICATION</p>			
EFFECTIVITY AND APPROVAL			
Revision 2 of this procedure became effective on 8/28/2000. This procedure consists of the pages and changes listed below.			
<u>Page No.</u> All	<u>Change</u> 0	<u>Date Effective</u> 8/28/2000	
Supersedes Procedure No. QAP-007, Rev. 1, Chg 0 dated 10/09/96.			
Approvals			
Written By  Mark R. Ernstom	Date 8/28/2000	Concurrence Review  English Percy	Date 8/25/2000
Quality Assurance  Bruce Mabrito	Date 8/25/2000	Cognizant Director  Henry Garcia	Date 8/13/02

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REGULATORY ANALYSES**Proc. QAP-007Revision 2 Chg 0Page 2 of 5**QUALITY ASSURANCE PROCEDURE****QAP-007 PROFESSIONAL PERSONNEL QUALIFICATION****1. PURPOSE**

The purpose of this procedure is to describe the method of documenting the qualification requirements and qualifications of professional personnel. This procedure applies to professional level Center for Nuclear Waste Regulatory Analyses (CNWRA) core staff professional level, Southwest Research Institute (SwRI) staff, and consultant personnel performing CNWRA activities. This procedure implements the requirements of CNWRA Quality Assurance Manual (CQAM) Section 2.

2. RESPONSIBILITIES

- (i) The Director of Quality Assurance (QA) is responsible for developing QA Program indoctrination materials and for determining the need for additional QA Program training.
- (ii) The cognizant Element Manager (EM) is responsible for assuring that the "Professional Personnel Qualification and Training Record" is developed and applicable procedures are distributed to affected personnel, for the evaluation of training needs, and for providing supplementary training as necessary.
- (iii) The cognizant Principal Investigator is responsible for providing applicable procedures to experimental and test personnel and assuring training is completed as necessary.
- (iv) Holders of controlled and uncontrolled documents, including Technical, QA and Administrative Operating Procedures, are responsible for reading, understanding, and implementing those procedures.

3. PROCEDURE

- 3.1 CNWRA form QAP-11 (Figure 1), "Professional Personnel Qualification and Training Record" shall be used to document the qualifications information required by this procedure.
- 3.2 The cognizant Director or EM shall complete QAP-11 forms for all professional level personnel performing activities within their organizations. The instructions located on the reverse side of the form shall be used as follows:
 - (i) Identify the individual by name and employer. For SwRI employees, the division number, such as SwRI/09, should be indicated.

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- (ii) Provide the individual's functional title. The functional title should accurately reflect the individual's position description by discipline/subdiscipline. Some examples of functional titles include Geologist, Geochemist, Metallurgist, Hydrologist, etc.
- (iii) Provide a position description and the levels of education, experience, training, and other requirements necessary to satisfactorily perform the job.
- (iv) Summarize the individual's education, experience, training, and other capabilities which establish their qualifications. Resumes, curriculum vitae, and publications lists shall be referenced, as appropriate, and may be attached. All qualifications shall be supported by objective evidence available in CNWRA or other SwRI files.

- 3.3 Upon completion of the position description and statement of qualification, the cognizant Director (or President for Director's qualifications) shall review pertinent evidence of qualification to determine whether the individual satisfies all requirements. If the qualifications and objective evidence are sufficient, the cognizant Director/President shall sign and date the form.
- 3.4 The cognizant EM shall identify Operating Procedures and any special training for the individual to receive upon beginning work for the CNWRA. The QA Director shall provide CNWRA QA Indoctrination. Once training has been completed, the cognizant Director shall sign and date the "Assessment of Qualification/Training" block.
- 3.5 On an annual basis, the EM and/or cognizant Director shall review professional personnel qualification records and, as necessary, revise the position description and/or statement of qualifications. In addition, the cognizant Director/President shall review the individual's performance, continuing education, and/or training activities to verify that the individual continues to meet the requirements of the position description. This verification shall be documented by signature and date on the QAP-11 form.

4. RECORDS

- 4.1 "Professional Personnel Qualification and Training Record" QAP-11 form and attachments shall be maintained and retained as QA records in accordance with CQAM Section 17 as a permanent QA record.
- 4.2 Backup documentation of qualifications that are maintained in SwRI and division files shall be retained in accordance with applicable SwRI and division policies.

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PROFESSIONAL PERSONNEL QUALIFICATION AND TRAINING RECORD

NAME:		EMPLOYER:	
FUNCTIONAL TITLE:			
POSITION DESCRIPTION:			
EDUCATION:			
EXPERIENCE:			
SPECIALIZED SKILLS/TRAINING:			
STATEMENT OF QUALIFICATIONS:			
EDUCATION:			
EXPERIENCE:			
SPECIALIZED SKILLS/TRAINING:			
The above named individual's qualifications and experience have been evaluated and determined to meet the requirements of the Position Description.			
CNWRA ELEMENT MANAGER & DIRECTOR		DATE	
ASSESSMENT OF QUALIFICATIONS/TRAINING			
CNWRA DIRECTOR		DATE	
CNWRA DIRECTOR		DATE	
CNWRA DIRECTOR		DATE	
CNWRA DIRECTOR		DATE	
CNWRA DIRECTOR		DATE	

CNWRA FORM QAP-11 (6/2000)

Sample
Figure 1 (side one)

**CENTER FOR NUCLEAR WASTE
REGULATORY ANALYSES**Proc. QAP-007Revision 2 Chg 0Page 5 of 5**QUALITY ASSURANCE PROCEDURE****INSTRUCTIONS FOR COMPLETION
PROFESSIONAL PERSONNEL QUALIFICATION AND TRAINING RECORD**

1. Identify the individual by full name and employer. For SwRI employees, the Division number, such as SwRI/09, should be indicated.
2. Provide the functional title. The functional title should accurately reflect the position description by discipline/subdiscipline and level of expertise. Example functional titles: Geologist, Geochemist, Metallurgist, Hydrologist, etc.
3. Provide a detailed description of education, experience, training, and other pertinent requirements necessary to satisfactorily perform the job.
4. Summarize the education, experience, training, and other capabilities which establish the individual's qualifications. Resumes, curriculum vitae, and publications lists shall be referenced, as appropriate. All qualifications shall be supported by objective evidence in CNWRA or other SwRI files.
5. The cognizant Director shall review the position description, statement of qualifications, and other pertinent evidence to determine that the individual satisfies all requirements. If so, the Director shall sign and date the form.
6. The cognizant EM shall identify Operating Procedures and any special training for the individual to receive upon joining the CNWRA. The QA Director shall provide CNWRA QA Indoctrination. Once training has been completed, the cognizant Director shall sign and date the "Assessment of Qualification/Training" block.
7. The assessment of qualification/training through satisfactory performance, continuing education, and/or specific CNWRA training shall be verified annually by the EM/Director, as required, and documented by Director or President signature and date on the form.

Sample
Figure 1 (side two)