

United States Government

Department of Energy

Memorandum

QA: QA

DATE: JAN 08 2002

REPLY TO:

ATTN OF: RW-3 (Ram Murthy/(702) 794-5549)

SUBJECT: ISSUANCE OF DEFICIENCY REPORTS (DR) EM-02-D-055 AND EM-02-D-056
RESULTING FROM THE OFFICE OF QUALITY ASSURANCE (OQA) AUDIT
EM-ARC-02-01 OF THE OFFICE OF ENVIRONMENTAL MANAGEMENT

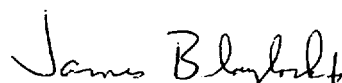
TO: EM-5 (P. M. Golan)

Enclosed are DRs EM-02-D-055 and EM-02-D-056 generated as a result of OQA Audit EM-ARC-02-01.

Please provide responses to these deficiencies that meet the applicable requirements of Administrative Procedure (AP) 16.1Q, *Management of Conditions Adverse to Quality*. Send the original of your responses to Deborah G. Opielowski, NQS, P.O. Box 364629, Mail Stop 455, North Las Vegas, Nevada 89036-8629. Initial responses to the DRs are due ten working days from the date of this letter. Any extension to the due dates must be requested in accordance with AP-16.1Q.

The Responsible Individual for this Condition Adverse to Quality (CAQ) should sign below and return to Ms. Opielowski within five working days.

If you have any questions, please contact either James Blaylock at (702) 794-1420 or John R. Doyle at (702) 794-5021.


Ram Murthy, Acting Director
Office of Quality Assurance

OQA:JB-0477

Enclosures:

DRs EM-02-D-055 and
EM-02-D-056

Nms507
WM-11

JAN 08 2002

Acknowledgement of Understanding of the CAQs (DRs EM-02-D-055 and EM-02-D-056)
by the Responsible Individual:

Responsible Individual

Date

cc w/encls:

L. D. Vaughan, DOE/HQ (RW-5) FORS
N. K. Stablein, NRC, Rockville, MD
Robert Latta, NRC, Las Vegas, NV
S. W. Lynch, State of Nevada, Carson City, NV
Engelbrecht von Tiesenhausen, Clark County, Las Vegas, NV
J. R. Doyle, NQS, Las Vegas, NV
W. J. Glasser, NQS, Las Vegas, NV
M. A. Kavchak, NQS, Las Vegas, NV
D. G. Opielowski, NQS, Las Vegas, NV
L. W. Wagner, NQS, Las Vegas, NV
J. R. Dyer, DOE/YMSCO, Las Vegas, NV
C. E. Hampton, DOE/YMSCO, Las Vegas, NV
D. G. Horton, DOE/YMSCO, Las Vegas, NV
J. M. Replogle, DOE/YMSCO, Las Vegas, NV
B. M. Terrell, DOE/YMSCO, Las Vegas, NV

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

8. ☒ ORIGINAL
DEFICIENCY REPORT
THIS IS A RED STAMP
☐ CORRECTIVE ACTION
REPORT

NO. EM-02-D-055

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DEFICIENCY/CORRECTIVE ACTION REPORT

1. Controlling Document:
Standard Practice Procedure (SPP) 4.04, Revision 4, *Technical and QA Documents*

2. Related Report No.:
EM-ARC-02-01

3. Responsible Organization:
Office Of Environmental Management, Office Of Safety, Health And Security (EM-5), High-Level Quality (HLW) Quality Assurance (QA) Program

4. Discussed With:
Larry Vaughan

5. Requirement:

1. SPP 4.04, Revision 4, paragraph 4.a.3, states "Performer . . . completes the revision history for the document."
2. SPP 4.04, paragraph 3.a, states in part, ". . . Document(s) specifically within the scope of this procedure are: . . . (7) Reviews original issuance and revisions to Memorandums of Agreement . . . between RW and EM, Project Offices . . ."

6. Description of Condition:

A review of the following Memorandum of Agreement (MOA) identified that no revision history has been completed as per SPP 4.04 requirements:

1. MOA between Director, DOE Ohio Field Office/West Valley Demonstration Project (OH//WVDP); Director, Office of Safety, Health and Security (EM-5); Director, Ohio Office (EM-31) for Participation in Overview of High-Level Waste Quality Assurance Activities for West Valley Demonstration Project (WVDP), Revision 2.
2. MOA between Assistant Manager for High-Level Waste (DOE/SR AMHLW); Director, Office of Safety, Health and Security (EM-5); Director, Savannah River Office (EM-42) for Participation in Overview of High-Level Waste Quality Assurance Activities for Defense Waste Processing Facility, Revision 2.
3. MOAs between the Manager, Office of River Protection (DOE/ORP); Director, Office of Safety, Health and Security (EM-5); Director, River of Projection Office (EM-44) for Participation in Overview of High-Level Waste Quality Assurance Activities for the Waste Treatment Project, Revision 2.

7. Initiator:

John R. Doyle Date 12/14/01

9. Does a stop work condition exist? (Not required for a DR)

☐ Yes ☒ No

If Yes, Check One: ☐ A ☐ B ☐ C ☐ D

10. Recommended Actions:

Revise above MOAs to include revision or change procedure to reflect current practice and determine impact.

11. QA Review:

John R. Doyle Date 12/20/01

12. Response Due Date:

10 Working Days From Issuance

13. DOQA Issuance Approval:

Printed Name: Bar MURPHY

Signature James B. Murphy Date 1/8/02

22. Corrective Actions Verified:

QAR _____ Date _____

23. Closure Approved by:

DOE/OQA _____ Date _____

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

ORIGINAL
DO NOT REMOVE THIS RED STAMP

8. ☒ DEFICIENCY REPORT
☐ CORRECTIVE ACTION REPORT

NO. EM-02-D-056

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DEFICIENCY/CORRECTIVE ACTION REPORT

1. Controlling Document:

DOE/RW-0333P, Revision 10, *Quality Assurance Requirements and Description (QARD)*, Section 2.2.12, "Personnel Qualification," and Standard Practice Procedure (SPP) 3.02, Revision 3.0, *Qualification and Certification Records*, Subsection, 4.a, "Developing and Implementing the QA Training Plan"

2. Related Report No.:

EM-ARC-02-01

3. Responsible Organization:

Office Of Environmental Management, Office Of Safety, Health and Security (EM-5), High-Level Quality (HLW) Quality Assurance (QA) Program

4. Discussed With:

Larry Vaughn

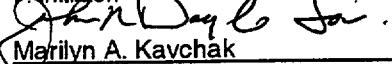
5. Requirement:

1. SPP 3.02, Subsection 4.a, requires the verification of education and experience for those who perform activities in accordance with the HLW QA Program.
2. The QARD, Section 2.2.12, A.5.c, requires job responsibilities be defined as they relate to a particular function.
3. SPP 3.02, Section 4.a.1.e, requires the training plan identify training applicable to the participants activity in the HLW QA Program.

6. Description of Condition:

1. Contrary to the sited requirement, the HLW Quality Assurance Program fails to require job responsibilities be described when position descriptions are required by SPP 3.02, Section 4.a.1.c. A review of position descriptions confirmed the job responsibilities are undefined for specific quality functions performed.
2. Contrary to the above, verification of education and experience documentation was not available for P. Golan and T. Wright.
3. Contrary to SPP 3.02, a review of training evaluation documentation indicated that functional positions were not identified for each individual reviewed although the training plan used functional positions' title to define training requirements. As a result, applicable training could not be directly determined.

7. Initiator:


Marilyn A. Kavchak Date 12/19/01

9. Does a stop work condition exist? (Not required for a DR)

☐ Yes ☒ No

If Yes, Check One: ☐ A ☐ B ☐ C ☐ D

10. Recommended Actions:

11. QA Review:


QAR Marilyn A. Kavchak Date 12/20/01

12. Response Due Date:

10 Working Days From Issuance

13. DOQA Issuance Approval:

Printed Name: RAM MURTHY

Signature  Date 1/8/02

22. Corrective Actions Verified:

QAR _____ Date _____

23. Closure Approved by:

DOE/OQA _____ Date _____