



Department of Energy

Washington, DC 20585

QA: N/A

MAY 08 2003

MEMORANDUM FOR: R. Dennis Brown (RW-3)

FROM: Kerry M. Grooms, Acting Team Lead Assessments
Office of Quality Assurance

SUBJECT: Verification of Corrective Action and Closure of Deficiency Report
(DR) OQA(O)-03-D-065 Resulting From Vague Auditor/Lead
Auditor Training Requirements

The Office of Civilian Radioactive Waste Management staff has verified the corrective actions of DR OQA(O)-03-D-065 and determined the results to be satisfactory. As a result, the DR is considered closed.

If you have any questions, please contact either Kerry M. Grooms at (702) 794-1367 or James Blaylock at (702) 794-1420.

OQA:KMG-1162

Enclosure:
DR OQA(O)-03-D-065

cc w/encl:
James Blaylock, DOE/OQA (RW-3), Las Vegas
N. K. Stablein, NRC, Rockville, MD
Robert Latta, NRC, Las Vegas, NV (2 cys)
S. W. Lynch, State of Nevada, Carson City, NV
L. W. Bradshaw, Nye County, Pahrump, NV
W. J. Glasser, NQS, Las Vegas, NV
D. G. Opielowski, NQS, Las Vegas, NV
B. M. Terrell, DOE/ORD (RW-40W), Las Vegas, NV



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

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8. ☒ Deficiency Report
☐ Corrective Action Report

No. OQA (O)-03-D-065

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QA: QA

DEFICIENCY REPORT/CORRECTIVE ACTION REPORT

1. Controlling Document: (Document ID and Revision or Date)

AP-5.1Q, Rev. 3, ICN 2

2. Related Report No.:

OQA-ARC-02-14

3. Responsible Organization:

Office of Quality Assurance (OQA)

4. Discussed With:

Denny Brown, Bob Hasson

5. Requirement:

AP-5.1Q, *Plan and Procedure Preparation, Review, and Approval*, section 5.1, and 5.1, (a), Process Steps. "Provide sequential action steps necessary to complete the process controlled by the procedure." "Include details on how to complete a specific action..."

6. Description of Condition:

The required training for Auditors and prospective Lead Auditors is vague and the process is not clearly defined.

Procedure AP-18.1Q, *Audit Personnel Qualification*, was developed to describe the requirements and process for training and qualification of Auditors and Lead Auditors.

Sections 5.1.1 and 5.2.1 of AP-18.1Q require Verification Management to determine appropriate training required for Auditors and prospective Lead Auditors rather than specifying the actual training required for these functions. Interviews with three QA individuals identified three different interpretations of the same requirement.

Has work been stopped? ☐ Yes ☒ No

7. Initiator:

Wayne Booth

ROBERT BLAYLOCK FOR W.B.
[Signature] 1/9/03

9 Does a stop work condition exist?

☐ Yes ☒ No ☐ N/A

Printed Name

Signature

Date

If Yes, Check One:

☐ A

☐ B

☐ C

☐ D

10. Recommended Actions:

None.

11. QAR Review:

James Blaylock

[Signature]

1/16/03

Printed Name

Signature

Date

12 Response Due Date:

10 Working days after issuance.

13. QAM Issuance Approval:

R. Dennis Brown

[Signature]

1/16/03

Printed Name

Signature

Date

14. Corrective Actions Verified/Closure:

J. Blaylock

[Signature]

4/25/03

15. QAM Closure Approval:

RDennis Brown [Signature]

5/5/03

QAR Printed Name

Signature

Date

Printed Name

Signature

Date

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2. Check if Amended ☐
 Check if also Initial Response ☐
 3. Extended Processing
☐ No ☐ Yes (If yes, submit
 Extended Processing request)

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DEFICIENCY REPORT/CORRECTIVE ACTION REPORT COMPLETE RESPONSE

4. Extent of Condition: (Amended response will be required if all Extent of Condition investigations are not complete and documented herein)

The Office of Quality Assurance and Navarro Quality Services personnel are included on a training matrix in accordance with AP-2.1Q, Indoctrination and Training of Personnel. AP-2.1Q requires managers to develop a training matrix which specifies the required training for each job function applicable to the work being planned. The job functions performed by the staff spans all activities within the QA Program including the performance of auditing after qualification in accordance with AP-18.1Q, Audit Personnel Qualification. AP-18.1Q processes the required documents (Auditor Qualification Records/Lead Auditor Qualification/Certification Record, Technical Specialist Audit process orientation record, and the maintenance of Lead Auditor Proficiency Record). Part of the process is the requirement to ensure that the required training has been satisfactorily completed.

5. Impact: (Provide an impact statement relative to waste isolation and safety, and impact to other work, if any)

None - Review of the Auditor Qualification/Lead Auditor Certification files contain the required documentation for Auditor Qualification/Certification, including the required training.

6. Remedial Actions: (Document all actions necessary to address the results of the Extent of Condition)

None required based on review of the auditor qualification/certification files.

7. ☐ Root Cause (For a significant CAQ, attach results of formal root cause determination prepared in accordance with AP-16.4Q)
☒ Apparent Cause

The training matrix failed to contain the requirement for the OCRWM Lead Auditor Training Course LPQA01-001

VB
 3/25/03

8. Action to Preclude Recurrence: (Address those actions necessary to prevent the identified cause from recurring)

Revise OQA/NQS Training Matrix to reflect the requirement for the OCRWM Lead Auditor Training Course LPQA01-001 or equivalent.

9. Due Date for Completion of Corrective Action:

April 11, 2003

10. Responsible Manager:

RDennis Brown RDennis Brown 3/17/03
 Printed Name Signature Date

11. QAR Evaluation: ☒ Accept ☐ Partially Accept ☐ Reject
☒ Re-evaluated for significance

12. QAM Concurrence:

JAMES BLAYLOCK James Blaylock 3/25/03
~~Donald J. Harris~~
 Printed Name Signature Date

DENNIS BROWN James Blaylock 3/25/03
 Printed Name Signature Date

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☒ DR/CAR/QO
☐ SWO

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CONDITION ADVERSE TO QUALITY CONTINUATION PAGE

VERIFICATION OF CORRECTIVE ACTION FOR DEFICIENCY REPORT (DR) OQA(O) 03-D-065

The QAR has verified that the training matrix dated April 23, 2003 includes the requirement for OCRWM Lead Auditor Training Course LPQA01-001.

No other actions were stated that requires verification. Based on the above, I recommend that this DR be closed.

QAR:


James Blaylock


Kerry Grooms

Date:

