



United States Government

Department of Energy

memorandum

Carlsbad Field Office
Carlsbad, New Mexico 88223



DATE: OCT 18 2011

REPLY TO: CBFO:OQA:CF:GS:11-1939:UFC 2300.00

ATTN OF:

SUBJECT: Issuance of CAR 11-052 Resulting From Audit A-11-22 of the CBFO Performance Demonstration Program

TO: Michael Brown, Transportation Packaging Manager, Office of the National TRU Program

The Carlsbad Field Office (CBFO) conducted Audit A-11-22 of the CBFO Performance Demonstration Program (PDP) on September 19-22, 2011. Attached is Corrective Action Report (CAR) 11-052 addressing the conditions adverse to quality identified during the surveillance.

Please provide a documented response for the CAR, ensuring that the required actions indicated in Block 12 are addressed, including a schedule for completion of the corrective actions. Please return your response to me on or before the due date identified in Block 14a of the CAR.

If you have any questions concerning CAR 11-052, please contact me at (575) 234-7548.

Sincerely,

Courtland G. Fesmire, P.E.
Quality Assurance Engineer

Attachment

- cc: w/attachment
 - R. Unger, CBFO *ED
 - J.R. Stroble, CBFO ED
 - M. Eagle, EPA ED
 - T. Kesterson, DOE OB WIPP NMED ED
 - D. Winters, DNFSB ED
 - J. Kieling, NMED ED
 - S. Holmes, NMED ED
 - T. Hall, NMED ED
 - K. Martin, Portage ED
 - B. Oates, Portage ED
 - P. Hinojos, CTAC ED
 - T. Bowden, CTAC ED
 - G. Knox, CTAC ED
 - G. White, CTAC ED
 - WIPP Operating Record ED
 - CBFO QA File
 - CBFO M&RC
- *ED denotes electronic distribution



CBFO Form 3.1-1

CORRECTIVE ACTION REPORT

1. CAR No.: 11-052	2. Activity Report No.: A-11-22	3. Page 1 of 2
4. Controlling document: CTAC MP 2.3	5. CBFO Assessment Team Leader: M. Navarrete/C. Fesmire	
6. Responsible organization: CBFO PDP/CTAC	7. CAQ was discussed with: K. Martin/B. Oates/R. Allen/R. Unger	
8. Requirement that was violated: CTAC MP 2.3, Revision 3, paragraph. 5.4.2, states in part "CTAC personnel shall update ... required reading as applicable procedures ... are revised. The completion of training and reading shall be documented as described in Section 5.3."		
9. Condition Adverse to Quality (CAQ): SEE CONTINUATION SHEET		
10. Suggested actions (Optional):		
11a. Significant CAQ? (If 'Yes', go to block 15b) Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> 11b. Work Suspension recommended? (If 'Yes', go to block 15b) Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> 11c. RCRA related? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> 11d. Accelerated corrective action required? (If 'Yes', go to block 15b) Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> 11e. Does this CAQ affect waste streams BNINW216 or BNIN218? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		12. Type of actions required: Remedial? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Investigative? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Root Cause Determination? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Actions to Preclude Recurrence? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
13a. Trend Code: QA-5	13b. CAR Initiator: <u>G. Knox</u> (printed name)	Date: <u>10/6/11</u>
14a. Response due date: <u>17 NOV 2011</u>		
14b. Required corrective action completion date: <u>N/A</u>		
15. Concurrence:		
a. Assessment Team Leader: <u>Courtland Fesmire</u> (printed name)		Date: <u>17 Oct 2011</u>
b. CBFO Quality Assurance Director (if SCAQ, work suspension, or accelerated corrective action, sign here; otherwise, mark as N/A): <u>N/A</u> (printed name)		Date: _____
16. Acceptance of Proposed Corrective Actions: _____ (printed name)		
17. Acceptance of Corrective Action Completion: _____ (printed name)		
18. Closure: _____ (printed name)		

CBFO Form 3.1-2

CAR CONTINUATION SHEET

1. CAR No: 11-052	2. Activity No: A-11-22	3. Page <u>2</u> of <u>2</u>
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Block # 9

There is no objective evidence to show that PDP management personnel have read the current revisions of the documents identified on their "Training Assignment Worksheets" as required by CTAC MP 2.3.

Examples Reviewed: "Training Assignment Worksheet" indicates initial training was to DOE/CBFO-01-1005, Rev. 2. There is no evidence of a Required Reading Record for DOE/CBFO-01-1005, Rev. 3 (Current); "Training Assignment Worksheet" indicates initial training was to CBFO MP 4.1, Rev. 8. There is no evidence of a Required Reading Record for CBFO MP 4.1, Rev. 9 (Current).

Also, CBFO MP 4.1 was initially identified as a Required Reading document for the PDP positions. Currently, the PDP plan does NOT identify CBFO MP 4.1 as a Required Reading document. Therefore, there is not a Required Reading Record for the current revision.

Note:

Due to program size, individuals performing PDP management work are responsible for authorship and review of program procedures and are knowledgeable of the revisions identified. Also, personnel are working to the current revisions of the noted documents.