



QA: QA

Darell D. vonderLinden, Manager
Procurement and Property
Bechtel SAIC Company, LLC
1180 Town Center Drive
Las Vegas, NV 89144

**VERIFICATION OF CORRECTIVE ACTION AND CLOSURE OF CORRECTIVE ACTION
REPORT (CAR) BSC(V)-02-C-002 FOR LOSS OF TRACEABILITY AT METAL SAMPLES
COMPANY**

BSC Quality Assurance has verified implementation of corrective action for CAR
BSC(V)-02-C-002 and determined the results to be satisfactory. As a result, the CAR has been
closed.

If you have any questions, please contact either Richard L. Maudlin at (702) 295-2961 or
Daniel A. Klimas at (702) 295-2665.

A handwritten signature in black ink, appearing to read 'D. T. Krisha'.

Donald T. Krisha, Manager
Quality Assurance

4/15/02
Date Signed

RLM:bw-0401022025

Enclosure:
DR BSC(V)-02-C-002

*Approved
4/15/02*

April 15, 2002

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cc w/encl:

L. H. Barrett, DOE/HQ (RW-2) FORS
L. W. Bradshaw, Nye County, Pahrump, NV
Margaret Chu, DOE/HQ (RW-1) FORS
J. R. Dyer, DOE/YMSCO, Las Vegas, NV
W. J. Glasser, NQS, Las Vegas, NV
Birdie Hamilton-Ray, DOE/YMSCO, Las Vegas, NV
C. E. Hampton, DOE/YMSCO, Las Vegas, NV
R. W. Henderson, BSC, Las Vegas, NV
D. G. Horton, DOE/YMSCO, Las Vegas, NV
D. A. Klimas, BSC, Las Vegas, NV
D. T. Krishna, BSC, Las Vegas, NV
Robert Latta, NRC, Las Vegas, NV
S. W. Lynch, State of Nevada, Carson City, NV
S. P. Mellington, DOE/YMSCO, Las Vegas, NV
Ram Murthy, DOE/OQA, Las Vegas, NV
D. G. Opielowski, NQS, Las Vegas, NV
R. E. Powe, BSC, Las Vegas, NV
J. M. Replogle, DOE/YMSCO, Las Vegas, NV
N. K. Stablein, NRC, Rockville, MD
D. D. vonderLinden, BSC, Las Vegas, NV
Engelbrecht von Tiesenhausen, Clark County, Las Vegas, NV
B. L. Wilson, BSC, Las Vegas, NV

cc w/encl:

H. E. Adkins, BSC, Las Vegas, NV
R. W. Andrews, BSC, Las Vegas, NV
Rick Douglas, Metal Samples Company, Munford, AL
J. C. Estill, BSC/LLNL, Livermore, CA
R. F. Hartstern, BSC, Las Vegas, NV
R. L. Maudlin, BSC, Las Vegas, NV
Carolyn Moyers, BSC/FANP, Las Vegas, NV
M. T. Peters, BSC/LANL, Las Vegas, NV
R. E. Rucinski, BSC, Las Vegas, NV
S. A. Silva, BSC, Las Vegas, NV
Roxanna VanDillen, BSC, Las Vegas, NV
C. C. Warren, BSC, Livermore, CA

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U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.**

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8. DEFICIENCY REPORT
 CORRECTIVE ACTION REPORT

NO. BSC(V)-02-C-002

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DEFICIENCY/CORRECTIVE ACTION REPORT

1. Controlling Document:
Alabama Specialty Products, Inc., Quality Manual, Rev. 2/16/99
TRW Purchase Orders A15382YS9B and A15414SS0B

2. Related Report No.:
NA

3. Responsible Organization:
Bechtel SAIC/Metal Samples Company

4. Discussed With:
Rick Douglas, Kirk Johnson (Metal Samples), Mark Peters,
Howard Adkins, Richard Maudlin (BSC)

5. Requirement:
1. TRW Purchase Orders A15382YS9B and A15414SS0B, Procurement Requirements Document, Section IV, Subsection 5.0 states in part, "...Identification shall be maintained on the items or in documents traceable to the items, or in a manner, which assures that identification is established and maintained." Alabama Specialty Products, Inc. Quality System Manual, Rev. 2/16/99, Section 7.1, paragraph 2 states in part, "The Receiving Clerk, and the Inventory Control Supervisor shall maintain, and ensure compliance with established procedures for receipt, verification, storage, and maintenance of any Customer supplied product."

6. Description of Condition:

Contrary to the above:

1. No documentation could be provided by MSC to establish traceability, upon receipt, of YMP-customer supplied material and the associated YMP-customer supplied certified material test reports (CMTR). As a result, the traceability of the material to the CMTRs for the specimens fabricated by MSC to support TRW Purchase Orders A15382YS9B and A15414SS0B could not be confirmed.

NOTE: No YMP work is currently being performed by MSC. On 11/15/01 S&ET instructed MSC, via email, to stop all YMP work. In addition, S&ET contacted the Procurement Department on 11/15/01 and requested a modification be made to the existing contractual hold (PROC.08/01.008) to include ALL YMP work. SER revised on 11/15/01 to place restriction on MSC to prohibit ongoing or new work until concurrence is obtained from the BSC Manager of Quality Assurance.

7. Initiator: *Roxie VanDillen*
Roxie VanDillen Date 11/15/01

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:

1. Take immediate action to evaluate MSC's controls for receipt inspection of customer supplied material. Based on the results of the review, make necessary modifications/revisions to MSC's receipt inspection procedures to assure that customer supplied material is inspected for traceability of the material to the associated documentation. Although no YMP work is currently being performed by MSC, take immediate action to modify the existing contractual hold (PROC.08/01.008) on welded specimens at MSC to include ALL YMP work. Take immediate action to determine the total number of specimens fabricated from YMP-customer supplied material and the locations where MSC shipped the specimens. Determine if there are any untested specimens at the laboratories that received metal specimens fabricated from YMP-customer supplied material. Obtain a representative sample of the different types of specimens and have them independently analyzed to confirm that the specimens were fabricated from the material specified by TRW Purchase Orders A15382YS9B and A15414SS0B. Until these tests have been completed, all quality data generated from specimens fabricated from YMP-customer supplied material shall be identified and appropriately stated.

11. QA Review: *R. Maudlin*
QAR RL Maudlin Date 11/15/01

12. Response Due Date:
10 Working Days From Issuance

13. DOQA Issuance Approval:
Printed Name DONALD T. KRISHA
Robert W. Clark @TRW Signature *D. T. Krishna* Date 11/15/01

22. Corrective Actions Verified:
QAR *R. Maudlin* Date 04/01/02

23. Closure Approved by:
DOQA *D. T. Krishna* Date 4/15/02

TYPE RESPONSE:

- Initial
- Complete
- Amended

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DR/CAR NO. BSC(V)-02-C-002

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DGC 12/5/01
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DEFICIENCY/CORRECTIVE ACTION REPORT (RESPONSE)

14a. Immediate Actions:

BSC Procurement and Property issued a copy of Corrective Action Report BSC(V)-02-C-002 (via formal letter) to Metal Samples Company (MSC) on November 26, 2001. Additionally, BSC Procurement and Property has been requested to issue a formal modification to the existing contractual hold (PROC.08/01.003) on welded specimens at MSC to include all YMP work.

Compliance Date: December 6, 2001

8 Rev 4/10/02
OK 04/10/02

14. Remedial Actions:

- 1) S&ET and MSC will evaluate MSC's controls for receipt inspection of customer supplied material and recommend program changes to be implemented by MSC.
- 2) S&ET and MSC will determine the total number of specimens fabricated from YMP-customer supplied material and the locations where MSC shipped the specimens.
- 3) S&ET will determine if there are any untested specimens at the laboratories that received metal specimens fabricated from YMP-customer supplied material.
- 4) Representatives from S&ET, Waste Package, LLNL, MTI, Purchasing, and QA will meet on December 12, 2001, to discuss an acceptable method for determining the quality of the fabricated specimens.
- 5) A systematic search of the TDMS will be performed and all (if any) quality data generated from specimens fabricated by MSC from YMP-customer supplied material will be identified and appropriately classified.

15. Extent of Condition:

All samples fabricated from YMP-customer supplied material for TRW Purchase Orders A15382YS9B and A15414SS0B are considered "suspect" at this time. This will be further addressed in the complete response.

There is no impact on SR products. The impact on LA products is currently being investigated and will be further delineated in the complete response to this CAR.

16. Cause: (Attach results of root cause determination prepared in accordance with AP-16.4Q for a significant deficiency.)

A root cause analysis is underway and will be completed by December 18, 2001.

17. Action to Preclude Recurrence:

The actions to preclude recurrence will be determined based on the results of the root cause analysis.

18. Due Date: January 15, 2002

- For submittal of complete response
- For completion of corrective action

19. Response by: Mark Peters

RP
RWA
Date December 4, 2001

Mark J Peters 12/4/01
YAWD SA
Phone 5-3644

20. Evaluation: Accept Partially Accept Reject

QAR *M. Mandelli* Date *12/10/01*

21. Concurrence:

DOQA *G. T. ...* Date *12/13/01*

TYPE RESPONSE:

- Initial
- Complete
- Amended

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DEFICIENCY/CORRECTIVE ACTION REPORT (RESPONSE)

14a. Immediate Actions:

Purchasing issued a hold on all further work prohibiting MSC from providing any work supporting the Yucca Mountain Project until further direction.

14. Remedial Actions:

Discussions held between the S&ET, Waste Package, LLNL, MTI, Purchasing, QA and DOE for determining the acceptability of the fabricated specimens resulted in replacement of the specimens. The disposition of the samples currently on hold at LLNL and MTI will be addressed in NCR No. YMSCO-02-0021. 2/28/02
OK 02/28/02

Contrary to the remedial action specified in the initial response to this CAR, A systematic search of the TDMS was not necessary. There were only 89 specimens tested at MTI and the complete results will be submitted in a CY2001 Year-End Report (Currently in Draft Form). The data has not been submitted to the TDMS, nor will it be submitted to the TDMS until its "Q" status has been confirmed. (See statements from John Estill dated 01/09/02 and Gerald Gordon dated 01/14/02).

15. Extent of Condition:

None of the samples fabricated from YMP-customer supplied material (TRW Purchase Order A15414SS0B) sent to LLNL have been tested. Of the 471 samples fabricated from YMP-customer supplied material (TRW Purchase Order A15382YS9B) MTI say they've received, 382 have not been tested.
There is no impact to SR products. (See next page for impact to LA).

16. Cause: (Attach results of root cause determination prepared in accordance with AP-16.4Q for a significant deficiency.)

See attached root cause analysis report.

17. Action to Preclude Recurrence:

S&ET will not use Metal Samples Company for further fabrication activities. S&ET is currently pursuing other suppliers for fabricating samples. **(Root Cause Analysis: Causal Factor 01, Corrective Actions 01, 02, 03).**

(Continued on next page).

18. Due Date: February 28, 2002

- For submittal of complete response
- For completion of corrective action

19. Response by: Mark Peters

Date February 15, 2002

Phone 5-3644

*3ED BSC QA
2/15/02
gmg*

20. Evaluation: Accept Partially Accept Reject

QAR *March* Date *02/21/02*

21. Concurrence:

DOQA *A. T. Kisha* Date *3/13/02*

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8. DR/CAR
 Stop Work Order

NO. BSC(V)-02-C-002

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DEFICIENCY/CORRECTIVE ACTION REPORT/STOP WORK ORDER CONTINUATION PAGE

15. Extent of Condition (Cont'd):

The welded samples were intended to be placed in test in August 2001. A six to seven month delay is now anticipated. This will impact the amount of data from welded samples available for a potential license application.

17. Action to Preclude Recurrence (Cont'd):

Effective December 11, 2001, Procurement/QA Roles and Responsibilities in the Testing Project were reassigned. See email from Mark Peters dated 12/11/01.

Additionally, the Science and Engineering Testing responsible manager has determined that Laboratory Testing, Inc. (LTI) is the "vendor of choice" for replacement of the welded specimens to be fabricated from BSC customer supplied material. LTI is currently on the OCRWM QSL to perform material sample fabrication. The BSC QA organization performed an audit of LTI in December 2001 and found their quality program to be satisfactory. Additionally, the S&ET organization along with BSC quality assurance and BSC procurement, worked together to modify LTI's current contract BSC Purchase Order No. 24540-160-PO-01195 by revising the current statement of work (SOW) (see Revision 01 to LTI ~~Statement of Work and List of Items, both~~ dated February 14, 2002). The List of Items to the SOW provides very detailed instruction to LTI for maintaining traceability and quality records throughout receipt, fabrication, and shipping of the specimens. Also included in the List of Items are established hold points that must be adhered to by LTI. (Root Cause Analysis: Causal Factor 02, Corrective Action 04). all 9/22/02
OK 07/2/0

BSC QA has taken the necessary steps to improve supplier quality evaluations and audits. Please see attached email from Robert Hartstern dated February 14, 2002. (Root Cause Analysis: Causal Factor 03, Corrective Actions 05, 06).

The S&ET Department is working closely with the Purchasing and QA Departments to provide clear and concise direction in vendor/supplier contracts and analytical and technical services contracts. This includes the preparation and implementation of receipt inspection plans. These groups are currently working together to transfer C22 material from Framatome ANP to LLNL. A letter will be issued by the S&ET manager addressing clarification of the requirements listed in the contract already in place. This documentation will be contractually binding (will reference current Framatome ANP purchase order and technical guidance document. (Root Cause Analysis: Causal Factor 04, Corrective Action 07).

(See Next Page for Clarification of Information for this CAR)

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This page was added for clarification purposes only.

ACRONYM LIST:

BSC	Bechtel SAIC, LLC
DOE	Department of Energy
LLNL	Lawrence Livermore National Laboratories
MSC	Metal Samples Company
MTI	McDermott Technologies, Inc.
QA	Quality Assurance
QSL	Quality Supplier List
S&ET	Science and Engineering Testing
TDMS	Technical Data Management System
YMP	Yucca Mountain Project

REMEDIAL ACTIONS FROM INITIAL RESPONSE:

Remedial Action No. 1: No longer applies. Metal Samples Company will not be used for further fabrication activities.

Remedial Action No. 2: BSC received a letter from Metal Samples Company detailing the sample numbers, dates, and destination of all YMP customer supplied samples.

Remedial Action No. 3: This is addressed in the extent of condition (block 15 of this response).

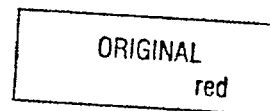
Remedial Action No. 4: This is addressed in paragraph one of the remedial actions (block 14 of this response).

Remedial Action No. 5: No longer applies. See paragraph two of the remedial actions (block 14 of this response) for the justification.

TapRoot® Incident Report

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Incident: CARV002
BSC(V)-02-C-002 Metal Samples Traceability Deficiency



Date of Incident: 11/15/2001
Date Investigation Started: 12/10/2001
Date Draft Report Sent for Approval: 12/17/2001

Incident Classification: Incident

Incident Summary:

As a result of an investigation into a Non-Conforming Sample received at MTI, a traceability issue was raised on multiple samples. A Corrective Action Report (CAR(V)-02-C-002) was issued: "No documentation could be provided by MSC to establish traceability of the YMP-Customer supplied material and the associated YMP-customer supplied certified material test reports (CMTR). As a result the traceability of the material to the CTMRs for the specimens fabricated by MSC to support TRW Purchase Orders A15382YS9B and A15414SS0B could not be confirmed.

Initial Conditions:

An Audit was conducted on 11/06/98 by DOE OQA on the QA program implemented by MSC. This program was that of Alabama Specialty Products, Inc. (ASPI) the parent company of MSC.

MSC is on the QSL list

The initial contract A15382YS9B was issued in February 1999. The additional contract was issued in May 2000.

The contracts stipulated that MSC was to use the ASPI approved QA program for the work. It also stipulated that "QA Records such as...traceability records...(shall be) retained by the supplier for a minimum of 3 years..."

The contractor was initially using vendor supplied material and switched to customer supplied material from Framatone- an M&O teammate with TRW.

Initiating Event:

A particular specimen from MSC was determined to be non-conforming by MTI. A contractual hold was issued to MSC by BSC Procurement on June 21, 2001. DR No BSC(V)-01-D-124 was initiated and an investigation was instituted. One of the outcomes of the investigation was the discovery of a traceability issue to the Framatone supplied material. The material was sent to MSC on 9/99.

Incident Description:

Investigation into the traceability of the specimens cut from customer supplied material revealed that there was no retrievable/available documentation that the specimens were cut from the material supplied by Framatone. Therefore there was no traceability to the customer supplied certified material test reports (CMTR).

Causal Factor: 01

New employee at MSC used in the Receiving Clerk role during the Period in question

For approximately three months a replacement employee at MSC was used due to the regular employee being on sick leave. This employee did not record receipt of material information into the log book as required by MSC Work Instruction 10.1-1. One of the items not recorded was the Framatone material. Corrective actions for this employee error have been initiated by MSC>

TapRoot® Incident Report

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Recommendation:

If a particular area is not actually checked during an annual evaluation, should it be marked N/A for the evaluation.

Causal Factor: 04

Receivers of finished specimens did not require the MSC receipt of CSM traceability

The first samples shipped under PO A15382YS9B were delivered 12/17/99. There was no requirement that traceability as is now being defined, ex post facto, be delivered with the specimens.

What was accepted as valid traceability, at LLNL, at that time did not include copies of the receipt logbook pages.

Root Cause: Human Performance Difficulty (1H)
Management System (3M)
Standards, Policies, or Admin. Controls NI (4SL)
Not strict enough (5NS)

Corrective Action: 07

Date Due:	Responsible Dept.:
Date Complete:	Responsible Person:
Recommendation:	

Receivers of finished products from sub-contractors be required to receive all official requirement documents, including traceability, as a condition of receipt.

Investigator / Investigation Team:
Tommy Wall

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MTI has performed tests on the following specimens supplied by Metal Samples:

Specimen Number Range	Material	Condition
IC1901 - IC1918	Alloy 22	Welded
IC2001 - IC2024	Alloy 22	Annealed
IC2301 - IC2324	TiGr7	Annealed
IC2401 - IC2423	TiGr7	Welded

The initial results from these tests were submitted to TRW/BSC in an interim report (MTI RDD:2001:43761-103-000:01R, dated June 6, 2001). Complete results on these specimens will be submitted in a CY2001 Year End Report (currently in draft form). The data has not been submitted to the TDMS (Technical Data Management System), nor will it be submitted to the TDMS until its Q status has been confirmed.

Gerald Gordon 1/14/02
Gerald Gordon

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● Roxie VanDillen

01/08/2002 12:35 PM

To: jmsarver@mcdermott.com
cc: Mark Peters/YM/RWDOE@CRWMS, Gerald Gordon/YM/RWDOE@CRWMS

Subject: Request for Documentation for Disposition of Data Generated at MTI

QA:N/A Exclusionary

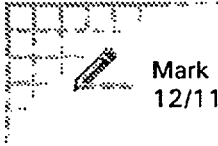
Jeff,

I need a documented signed statement to support the fact that none of the data generated at MTI using the "suspect" samples provided by MSC have been transmitted to the TDMS. Additionally, I need a statement documenting the disposition of the data that was generated. Please provide this information at your earliest convenience, I need it as part of the response to CAR No. BSC(V)-02-C-002.

Should you have any questions, please do not hesitate to call me on (702) 295-5779.

Thank you.

Roxie VanDillen



Mark Peters
12/11/2001 08:49 AM

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To: Robert Henderson/YM/RWDOE@CRWMS, Sharon Silva/YM/RWDOE@CRWMS, Carolyn Makaena/YM/RWDOE@CRWMS, Michael Eldred/YM/RWDOE@CRWMS, Robert Hartstern/YM/RWDOE@CRWMS, Richard Maudlin/YM/RWDOE@CRWMS, Kenneth Gilkerson/YM/RWDOE@CRWMS, Rick Weeks/YM/RWDOE@CRWMS, Dan Klimas/YM/RWDOE@CRWMS, Steve Dana/YM/RWDOE@CRWMS, Judith Gebhart/YM/RWDOE@CRWMS, Darell von der Linden/YM/RWDOE@CRWMS, Gregory Jensen/YM/RWDOE@CRWMS

cc: Robert Andrews/YM/RWDOE@CRWMS, William Watson/YM/RWDOE@CRWMS, Thomas Doering/YM/RWDOE@CRWMS, Gerald Gordon/YM/RWDOE@CRWMS, Pasu Pasupathi/YM/RWDOE@CRWMS, John Estill/YM/RWDOE@CRWMS, Cynthia Palmer/YM/RWDOE@CRWMS, Christine Stockman/YM/RWDOE@CRWMS, Roxie VanDillen/YM/RWDOE@CRWMS, Carolyn Moyers/YM/RWDOE@CRWMS, Howard Adkins/YM/RWDOE@CRWMS, Tammy Summers/YM/RWDOE@CRWMS, Jerry Cogar/YM/RWDOE@CRWMS, Jack Cloud/YM/RWDOE@CRWMS

Subject: Reassignment of Procurement/QA Roles & Responsibilities in Testing Project

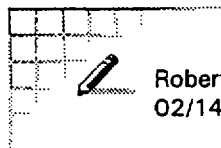
Effective immediately, all procurement related activities in the Waste Package Testing area will be the responsibility of Carolyn Moyers. John Estill or Tammy Summers, LLNL, will serve as technical POC for procurements in this area (depends on the contract). All QA related matters in the Waste Package Testing area will continue to be handled by Roxie VanDillen.

Howard Adkins will continue to serve as the Work Package Manager for Waste Form Testing and Technical POC for the ANL and PNNL contracts. Carolyn Moyers will continue to support Howard in procurement activities related to ANL and PNNL. Roxie VanDillen will continue to be the QA POC in the Waste Form Testing area.

If there are any questions concerning this matter please contact me (5-3644).

Mark Peters, Manager
Science&Engineering Testing Project

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Robert Hartstern
02/14/2002 01:17 PM

To: Roxie VanDillen/YM/RWDOE@CRWMS
cc:

Subject: CAR 002

QA:N/A Exclusionary

Attached is the response for two corrective action resulting from the TapRoot for CAC 002.



TapRoot Incident Report

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TapRoot Incident Report
CARV002
BSC(V)-02-C-002 Metal Samples Traceability Deficiency

Causal Factor 03 Response

Corrective Action: 05 "Increase the audit frequency when there is evidence of previous non-compliance"

While there is no dispute that increasing the frequency of audits may reduce the number of findings, this incident is not directly related to audit frequency. From the time BSC took responsibility for supplier qualification in February, 2001, there was no evidence of a problem with traceability of materials at MSC until identified by BSC in November, 2001. Previous audits prior to that date indicate that MSC had an adequate process for identifying customer supplied materials upon receipt, but as discussed in Causal Factor 01, these processes were not implemented for the reasons identified. BSC conducted an audit in November 2001 after the deficiency in tracability of customer supplied materials was identified in CAR 002 issued on 11/15/01. Traceability of materials procured directly by MSC was found to be satisfactory in that audit, which was observed by the Nuclear Regulatory Agency and OCRWM OQA.

If there are indications of potential problems with a supplier's performance additional audits, other than the annual/triennial scheduled audits, may be required. This may be identified by the requesting organization or the result of a supplier's previous deficiencies, depending on the impact of the deficiencies on the product. The BSC Manager of QA imposed this action shortly after BSC became responsible for maintaining the QSL. When a BSC supplier audit identifies a number of conditions adverse to quality or one that has the potential to directly impact product quality, a review is conducted when the condition(s) is corrected. The review by the BSC Procurement Quality Assurance Representative (PQAR) is to evaluate any impact on quality and to determine whether to perform a surveillance or follow-up audit, maintain the scheduled annual audit, or return the supplier to a triennial audit schedule. Any follow-up actions are documented in the SER and tracked by QSL Open Items List. This practice has been ongoing since October 2001 as documented in audit reports and Supplier Evaluation Reports (SER). Ajax Magnethermic Corporation and Campbell Scientific are two examples of this process. The QSL currently has 11 suppliers with restrictions because of conditions adverse to quality identified during audits.

Causal Factor 03 Response

Corrective Action: 06 "If a particular area is not checked during an annual evaluation, should it be marked N/A for the evaluation"

At this time if a particular area is not checked during an annual evaluation, it is checked N/A in the applicable portion of the SER. The discussion for Casual Factor 03 indicates that the annual evaluation conducted on 11/12/99 should have identified the traceability issue because the plate had arrived at MSC two months before. BSC Annual supplier evaluations only evaluate those

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elements of the suppliers QA program that can be evaluated without actually visiting the facility and conducting an audit. The annual evaluation consists of the questions identified in Block 11 on the SER and is conducted through an interview with the supplier's quality representative, input from the requesting organization's Technical Representative, and review of any pertinent documents, including changes in the supplier's quality program.

A "Guideline for Preparation of Supplier Evaluation Report (SER)" has been developed to aid the BSC PQAR in completing the SER and in conducting annual evaluations. The Guideline provides the following basic items:

- 1) Questions to ask during interviews with suppliers (e.g. have internal audits been performed? were any sub-tier suppliers used? if so, were the QA and technical requirements passed down?);
- 2) Identifies supporting documentation to request from the supplier (e.g. the supplier's annual audit schedule; copies of audit reports or other evidence of the audits; evidence of the supplier's evaluation for selection; and an unpriced copy of the procurement documents to demonstrate passing down QA and technical requirements);
- 3) Process for obtaining input for the annual evaluations from the requesting organization's Technical Representatives. The Guideline references the questionnaire to be sent to the requesting organization's Technical Representative to be completed and returned; and
- 4) Instructions to provide consistency in completing the SER.

BSC Procurement Quality has made an effort to improve annual supplier evaluations through both staff meetings to re-enforce the importance and developing the Guideline for preparation of SERs. In addition, Procurement Quality has developed the questionnaire for the to requesting organization to complete in support the annual evaluations as described above. Neither of these was available prior to BSC assuming responsibility for supplier evaluations in February 2001.

John C. Estill
Phone 925-422-6139
Fax 925-422-3362

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To: Roxie Van Dillen Fax: 702-295-3554

From: John Estill Date: 1/9/2002

Re: Corrective Action Request (CAR) Pages: 1 including cover sheet
BSC(V)-02-C-002

CC:

- Urgent For Review Please Comment Please Reply Please Recycle



vised LLNL has not tested those specimens that have been ordered and received (as of 1-8-2002)
TRWP.O. number A15414SSOB identified in schedules FY00-01 thru FY00-06.

Sincerely,

John Estill

.....

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● Roxie VanDillen

01/08/2002 12:01 PM

To: John Estill/YM/RWDOE@CRWMS
cc: Mark Peters/YM/RWDOE@CRWMS, Tammy Summers/YM/RWDOE@CRWMS, Cynthia Palmer/YM/RWDOE@CRWMS

Subject: Written Statement That None of the Suspect Samples Shipped to LLNL Have Been Tested

QA:N/A Exclusionary

John,

I'm not sure if you can provide this or if Tammy needs to, but I need a written, signed statement that none of the LLNL samples considered "suspect" in BSC(V)-02-C-002, have been tested. I need this information to satisfy commitment (5) of the CAR. Please provide the information at your earliest convenience.

Should you have any questions, please do not hesitate to call me on (702) 295-5779.

Thank you.

Roxie

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

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VERIFICATION OF CORRECTIVE ACTION AND CLOSURE OF CAR BSC(V)-02-C-002

On March 19-22, 2002, a follow-up verification was performed to verify implementation of corrective action to Corrective Action BSC(V)-02-C-002. This follow-up verification was based on a review of the following documentation to support implementation of corrective action:

- Letter from BSC Procurement Department, dated November 26, 2001, to Metal Samples Company (MSC) transmitting a copy of CAR BSC(V)-02-C-002.
- Letter from BSC Procurement Department, dated December 5, 2001, to MSC directing them to place a hold on all further work and included the requirements stated in the OCRWM Qualified Supplier List (QSL) that MSC is prohibited from providing any work supporting the Yucca Mountain Project until further direction.
- Nonconformance Report YMSCO-02-0021, dated 02/14/02, identifying the nonconforming condition with Customer Supplied Material fabricated by MSC.
- Documented signed statement from John Estill, dated 01/09/02, reflecting that LLNL has not tested any specimens that were ordered and received supporting TRW Environmental Safety Systems Purchase Order A15414SSOB. Documented signed statement from Gerald Gordon, dated 01/14/02, indicating that the complete results testing by McDermott Technology, Inc. (MTI) will be submitted in a CY2001 Year End Report (currently in draft form). The statement also reflected that no data from the MTI testing has been submitted to the Technical Data Management System.
- Supplier Evaluation Report, approved on 01/18/02, which identifies a restriction that states in part: "Metal Samples shall be prohibited from performing any work supporting YMP until concurrence from the BSC Manager of Quality Assurance...".
- OCRWM QSL which identifies a restriction prohibiting the performance of any work supporting YMP.
- E-Mail from the Manager of Science & Engineering Testing, dated 12/11/01, addressing the reassignment of Procurement/QA Roles and Responsibilities in the Waste Package Testing area.
- The approved List of Items for Laboratory Testing Incorporated (LTI) for the Fabrication of Specimens from Alloy 22 Customer Supplied Material, dated February 14, 2002. The List of Items was found to incorporate detailed instructions to LTI for maintaining material traceability by the establishment of hold points at all critical steps in the process. List of Items is an attachment to BSC Purchase Order 2450-160-PO-001195.
- E-mail, with attachment, from the Manager, BSC Verification Quality, defining the steps being implemented which provide for increased supplier oversight based on the results of previous audits and performance. Measures include increased audit frequency when there is evidence of previous non-compliance through the use of a QSL Open Items List and the preparation of a "Guideline for Preparation of Supplier Evaluation Report (SER)" to aid the BSC Procurement Quality Assurance Representative in completing the SER for the conduct of Annual Evaluations.
- Current QSL Open Items List, dated 03/20/02, reflecting the list of supplier follow-up actions pending and those actions completed to date.
- The List of Supplier Assignments, dated 03/20/02, listing the OCRWM Approved Suppliers and the responsible QAR.
- Guidelines for Preparation of Supplier Evaluation Reports (SER) which details the process for preparation of SERs.

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CONDITION ADVERSE TO QUALITY CONTINUATION PAGE

CONTINUATION OF VERIFICATION OF CORRECTIVE ACTION AND CLOSURE OF CAR BSC(V)-02-C-002

- Letter from the Manager, Science & Engineering Testing, to Framatome ANP detailing the process, including documentation requirements, for shipment of Alloy C22 Corrosion Sample Plates from Framatome ANP to Lawrence Livermore National Laboratory (LLNL).
- BSC receipt acceptance plan, dated 02/15/02, providing the criteria to be used by LLNL in the receipt of Alloy C22 Welded Plate shipped from Metal Samples Company to LLNL.
- Specimen accountability tables for specimens on hold and red tagged at MTI and LLNL.

The documentation provided, including the response to the CAR, satisfactorily resolves the condition adverse to quality and implements the corrective actions stated in the CAR response. The evidence reviewed during this verification and discussions with Science & Engineering Testing personnel have revealed a tremendous effort put fourth in controlling the identified problem and moving forward with a plan to mitigate future problems with the traceability of fabricated metal specimens. The List of Items issued under the existing LTI purchase order for the fabrication of new specimens was found to include stringent controls on the process which will assure independent oversight of the documentation generated by LTI at all critical steps in the process. This, along with surveillances of LTI activities by BSC QA and BSC Science & Engineering Testing/LLNL staff in the beginning stages of fabrication, will assure that adequate controls are being implemented for the traceability of the metal specimens during the receipt of material from BSC through final inspection by LTI.

Based on the above, this CAR is considered closed.


Richard L. Maudlin

04-04-02
Date Signed

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