



Department of Energy

Washington, DC 20585

QA: QA

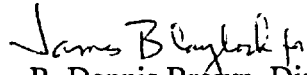
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Robert P. Hasson
Navarro Quality Services
P.O. Box 364629, M/S 455
North Las Vegas, NV 89036

VERIFICATION OF CORRECTIVE ACTION AND CLOSURE OF DEFICIENCY REPORT (DR) OQA(O)-02-D-158 RESULTING FROM THE OFFICE OF QUALITY ASSURANCE (OQA) SURVEILLANCE OQA-02-S-02

The OQA staff has evaluated the corrective action of DR OQA(O)-02-D-158 and determined the result to be satisfactory. As a result, the DR is considered closed.

If you have any questions, please contact either James Blaylock at (702) 794-1420 or Donald J. Harris at (702) 794-1467.


R. Dennis Brown, Director
Office of Quality Assurance

OQA:JB-0270

Enclosure:
DR OQA(O)-02-D-158

cc w/encl:
R. B. Murthy, DOE/OQA (RW-3), Las Vegas, NV
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. J. Harris, NQS, Las Vegas, NV
D. G. Opielowski, NQS, Las Vegas, NV
J. R. Dyer, DOE/ORD (RW-2W), 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.

8 ☒ DEFICIENCY REPORT
☐ CORRECTIVE ACTION
REPORT
NO. OQA(O)-02-D-158
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DEFICIENCY REPORT/CORRECTIVE ACTION REPORT

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

DOE/RW-0333P, Rev. 11, Quality Assurance Requirements & Description (QARD)

2. Related Report No.:

OQA-02-S-20

3. Responsible Organization:

Office of Quality Assurance (OQA)

4. Discussed With

James Blaylock; Robert Hasson

5. Requirement

- 1) Section 18.2.4 B The scope of each audit shall be based on evaluation of implementing documents, activities, and items to be audited, the results of previous audits and the impact of significant changes in personnel, organizations, or the quality assurance program.
- 2) Section 18.2.7 D Objective evidence shall be examined to the depth necessary to determine if these elements are being implemented effectively.

6. Description of Condition

Contrary to cited requirements 1 and 2, objective evidence examined during Supplier Survey OQA-SFE-01-001, performed March 6-7, 2001 was not adequately evaluated by the audit team. The audit team failed to determine that MTS procedures did not provide adequate methodology for qualification of their suppliers or address the requirement for passing on the quality assurance requirements of their customers to the subtier supplier.

Note: MTS program procedure Quality Management System 261, Rev. 9-11, relied on the acceptance of suppliers based on A2LA, NAVLAP, and ISO-9000 certificates and informal supplier surveys.

Has work been stopped? ☐ Yes ☒ No

7. Initiator:

Donald J. Harris

Printed Name

Signature

8/9/02
Date

9. Does a stop work condition exist?

☐ Yes ☒ No ☐ N/A

If Yes, Check One

☐ A

☐ B

☐ C

☐ D

10. Recommended Actions

None

11. QA Review

Donald J. Harris

Printed Name

Signature

8/9/02
Date

12. Response Due Date

10 Working Days after Issuance

13. QAM Issuance Approval

Printed Name Ram B. Murthy

Signature

Date 8/9/02

14. Corrective Actions Verified/Closure

DONALD J. HARRIS

QAR Printed Name

Signature

11/4/02
Date

15. QAM Closure Approval

DENNIS BROWN

Printed Name

Signature

11/18/02
Date

Submittal Page <u>1</u> of <u>1</u> 2. Check if Amended <input type="checkbox"/> 3. Extended Processing <input type="checkbox"/> No <input type="checkbox"/> Yes (if yes, submit Extended Processing request.)	OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT U.S. DEPARTMENT OF ENERGY WASHINGTON, D.C	1. DR/CAR No.: OQA(O)-02-D-158 Page <u> </u> of <u> </u> QA: QA
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DEFICIENCY REPORT/CORRECTIVE ACTION REPORT INITIAL RESPONSE

4. Immediate Actions Necessary to Bring the Process Under Control. (If none, provide justification statement)

During a review of the revised MTS Quality Assurance (QA) Program, it was noted that the procurement controls did not meet the QARD requirements imposed on MTS. MTS had been added to the Qualified Suppliers List (QSL) as a result of supplier survey OQA-SFE-01-001, performed by OQA by Bechtel SAIC Company, LLC (BSC) QA during the transition period. A review of the supplier survey indicated an inadequate evaluation of objective evidence. As a result of the identified deficient program, the QSL was updated with a supplier evaluation report to place a hold on all procurements to MTS Systems Corporation by OCRWM users until completion of OQA surveillance OQA-02-S-20.

OQA will notify the BSC Procurement QA Manager of the inadequate supplier survey and clarify expectations for an acceptable survey.

Date when process will meet requirements: September 12, 2002

5. Immediate Remedial Actions Completed:

Deficiency report YMSCO(V)-02-D-157 was issued to MTS to document their program deficiencies.

6. Plan for Determining the Extent of Condition:

Review all supplier surveys performed by BSC QA for suppliers qualified for OCRWM users (i.e., University and Community College System of Nevada and Atomic Energy of Canada, Limited) since the transition to BSC, February 12, 2001 to determine if any other suppliers were added to the QSL with inadequate QA programs.

7. Due Date Submittal of Completed Response October 11, 2002	8. Response by* (Responsible Manager) <div style="display: flex; justify-content: space-between;"> ROBERT P. HASSON <i>[Signature]</i> 9/6/02 </div> <div style="display: flex; justify-content: space-between; font-size: small;"> Printed Name Signature Date </div>
9. QAR Evaluation: <input checked="" type="checkbox"/> Accept <input type="checkbox"/> Partially Accept <input type="checkbox"/> Reject <div style="display: flex; justify-content: space-between;"> DONALD E HARRIS <i>[Signature]</i> 9/10/02 </div> <div style="display: flex; justify-content: space-between; font-size: small;"> Printed Name Signature Date </div>	10. QAM Concurrence: <div style="display: flex; justify-content: space-between;"> RAM MURTHY <i>[Signature]</i> 9/18/02 </div> <div style="display: flex; justify-content: space-between; font-size: small;"> Printed Name Signature Date </div>

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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 extent of condition is limited to Supplier Survey OQA-SFE-01-001. No other Supplier Surveys were performed by BSC QA for OCRWM users since February 12, 2001.

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

Based on the accepted response to Deficiency Report, YMSCO(V)-02-D-157, which indicated there was no impact on the work performed by MTS Systems, there is no impact to waste isolation, safety or other work performed.

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

No remedial actions necessary due to only one survey/audit performed by BSC QA for OCRWM users.

7. ☐ Root Cause (For a significant CAQ, attached results of formal root cause determination prepared in accordance with AP-16 4Q)
☒ Apparent Cause

Inadequate training of the Auditor.

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

A briefing for all OQA personnel likely to perform Supplier Audits will be conducted. The briefing number is BRETEC023-018 and covers AP-18.2Q, *Supplier Surveys/Audits*.

9 Due Date for Completion of Corrective Action:

November 14, 2002

10. Responsible Manager:

Robert P. Hasson

Printed Name

Signature

Date

10/14/02

11 QAR Evaluation ☒ Accept ☐ Partially Accept ☐ Reject

☒ Re-evaluated for significance

DONALD J. HARRIS Donald J. Harris

Printed Name

Signature

Date

10/15/02

12. QAM Concurrence:

DEBBIE BROWN James B. English

Printed Name

Signature

Date

10/28/02

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☒ DR/CAR/QO
☐ SWO

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CONDITION ADVERSE TO QUALITY CONTINUATION PAGE

Verification And Closure Of Deficiency Report OQA(O)-02-D-158

Initial Response

Block 4, Immediate Action:

Verified OQA notified the BSC QA Manager of the inadequate supplier survey and clarified the expectation for an acceptable survey. Memo from Robert Hasson to Robert Hartstern, dated 9/12/02, subject, OQA DR OQA(O)-02-D-158.

Complete Response

Block 4, Extent of Condition:

Verified the extent of condition was limited to Supplier Survey OQA-SFE-01-001. No other supplier surveys were performed by Bechtel SAIC Company, LLC (BSC) Quality Assurance (QA) for OCRWM users since 2/12/01.

Block 5, Impact:

Verified, based on the accepted response to Deficiency Report YMSCO(V)-02-D-157, which indicated no impact on the work (calibrations) performed by MTS Systems. There is no impact on waste isolation, safety or other work performed.

Block 6, Remedial Action:

Verified, none required due to only one supplier facility evaluation performed by BSC QA for OCRWM users.

Block 7, Apparent Cause:

Verified the apparent cause was inadequate training of the auditor.

Block 8, Action to Preclude Recurrence:

Verified, that Supplier Survey Audit Training for OQA Administrative Procedure, AP-18.2Q, Rev. 0, ICN 1, *Supplier Survey/Audits*, was provided in accordance with Lesson Plan Number BRETEC02-018, Rev. 0, on 10/31/02, to the OQA staff during the scheduled staff meeting.

Based on the above Verification, it is recommended that this deficiency report be closed:

QAR: Donald J. Harris

DATE: 11/4/02