

**U.S. DEPARTMENT OF ENERGY  
OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT  
OFFICE OF QUALITY ASSURANCE**

**SUPPLIER AUDIT REPORT**

**OF**

**SIMCO ELECTRONICS**

**SANTA CLARA, CALIFORNIA**

**REPORT NUMBER OQA-SA-95-004  
SEPTEMBER 13 THROUGH 14, 1995**

Prepared by: *S. R. Maslar*

Date: *9/15/95*

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Approved by: *Donald G. Horton*

Date: *9/21/95*

**Donald G. Horton  
Director  
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## 1.0 EXECUTIVE SUMMARY

The results of the supplier audit of Simco Electronics revealed one unsatisfactory condition resulting in the issuance of one Deficiency Report to Los Alamos National Laboratory (Los Alamos) for issuance to Simco Electronics for action. This deficiency report is related to the fact that Simco Electronics does not use properly qualified lead auditors for performing their internal audits. Detailed procedures were in place and were being utilized for the scope of work. Implementation was found to be effective in producing the desired results except in the one area found unsatisfactory. Simco Electronics has recently been accredited by the National Measurement Accreditation Service (NMAS) for performing calibration services. Simco Electronics is in the process of updating its Quality Assurance Manual to include two recommendations provided to Simco Electronics which are associated with clearly defining the receipt inspection of procured quality-related items, and record storage provisions that are currently being used. One deficiency, relating to inadequate documentation of training and qualification records of an individual performing inspections, was updated prior to the post-audit meeting. These conditions have no impact on the calibration services provided by Simco Electronics.

A recommendation to Los Alamos regarding clarification on the use of Simco Electronics' quality assurance program when performing calibration services is also included.

## 2.0 SCOPE

The supplier audit was conducted to evaluate the adequacy, implementation, and effectiveness of Simco Electronics' quality program. This was accomplished by determining if the program satisfies the quality assurance (QA) requirements specified in the Los Alamos procurement documents 8694V and 3426Q, Simco Electronics' Quality Assurance Manual, dated July 27, 1994, and the Office of Civilian Radioactive Waste Management (OCRWM) Quality Assurance and Requirements Description (QARD) for the scope of work. The QA program elements determined to be applicable are: Organization, QA Program, Procurement Control, Implementing Procedures, Document Control, Control of Purchased Items and Services, Identification and Control of Items, Handling, Shipping and Storage, Measuring and Test Equipment, Nonconformances, Corrective Action, QA Records, Audits, and Software Control.

## 3.0 AUDIT TEAM AND OBSERVERS

Stephen R. Maslar, Audit Team Leader, Office of Quality Assurance (OQA), Yucca Mountain Quality Assurance Division (YMQAD)

#### 4.0 PERSONNEL CONTACTED DURING FACILITY AUDIT

Carl Quinn, Vice President, Simco Electronics  
Janice Smith, Quality Assurance Manager, Simco Electronics

#### 5.0 SUMMARY OF AUDIT RESULTS

Simco Electronics' Quality Assurance Manual, dated July 27, 1994, addresses the applicable elements of Los Alamos procurement documents 8694V and 3426Q and the applicable elements of the OCRWM QARD for the intended scope of work. Procedures were in place and implementation was considered to effectively produce the desired results except for the area deemed unsatisfactory and noted in Section 6.0 of this report. This area was related to the fact that Simco Electronics has not used properly qualified lead auditors in performing their internal audits. It should be noted that Simco Electronics is in the process of updating its Quality Assurance Manual. Two recommendations relating to providing clarification to the receipt inspection of procured quality-related items and the storage of quality records are included in Section 6.0. Supplemental detailed procedures are used to supplement the Quality Assurance Manual and are available for review at Simco Electronics. Simco Electronics agreed to send YMQAD/Quality Assurance Technical Support Services a controlled copy of its revised Quality Assurance Manual.

The one deficiency and two recommendations were discussed with Simco Electronics management during the post-audit meeting. They agreed to resolve the unsatisfactory condition prior to and/or upon receipt of the reported condition adverse to quality from Los Alamos. Documentation, related to inadequate documentation of training and qualification records of an individual performing inspections, was satisfactorily updated to reflect the individual was trained and qualified in 1990 to perform the required inspections.

The details of the audit, along with the objective evidence reviewed, are contained within the audit checklist which is available from the OQA's quality records files.

#### 6.0 DEFICIENCIES/RECOMMENDATIONS

The unsatisfactory condition has been documented on the respective corrective action document and submitted to Los Alamos for resolution. One deficiency that was considered isolated was corrected during the audit. Recommendations, as applicable, have been provided for your consideration and action as deemed appropriate. The recommendations are offered as suggestions to improve your processes and are not required to be acknowledged unless otherwise stated.

**DEFICIENCY**

1. Deficiency Report No. YMQAD-95-D-015 - Simco Electronics' QA procedure QA-112, dated January 21, 1994, "Audits," states that "Simco uses ANSI/ASME NQA-1-1989, 2S-3, 'Supplementary requirements for the qualification of quality assurance audit personnel, and 2A-3-nonmandatory guidance on the education and experience of lead auditors,'" will be implemented. The documentation provided during the audit does not show that the two Simco Electronics lead auditors are properly qualified to the requirements identified.

**RECOMMENDATIONS**

1. Simco Electronics' QA procedure QA-103, dated May 7, 1993, "Control of Purchased Items and Services," does not define the methods used to review and accept quality-related procured items and services. It does not describe the required documentation used as objective evidence that the item or service is acceptable. It is recommended that Simco Electronics update the procedure to include the above information.
2. Simco Electronics' QA procedure, QA-111, dated April 4, 1994, "Quality Assurance Records," does not describe the methods used to ensure that QA records are legible and properly stored. It is recommended that Simco Electronics update the procedure to describe its current practices.
3. Los Alamos purchase orders to Simco Electronics state that the Los Alamos QA program is not needed to do work since Simco Electronics has a QA program. The purchase orders do not require Simco Electronics to follow its QA program. It is recommended that future Los Alamos purchase orders require Simco Electronics to comply with its QA program when performing safety-related or quality-related work for Los Alamos.