

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

AUDIT REPORT OF
WESTINGHOUSE
GOVERNMENT AND ENVIRONMENTAL SERVICES COMPANY (GESCO)
OAK RIDGE, TENNESSEE

AUDIT NO. OQA-SA-96-001

DECEMBER 11 THROUGH DECEMBER 14, 1995

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Date: 1/11/96

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Date: 1/16/96

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1.0 EXECUTIVE SUMMARY

As a result of Quality Assurance (QA) Supplier Audit OQA-SA-96-001, the audit team determined that Westinghouse Government and Environmental Services Company (referred to as GESCO) is now satisfactorily implementing its QA Program. The subject audit was a re-audit of GESCO to assess the implementation of their QA Program and to ascertain the effectiveness and adequacy of the corrective actions taken as a result of Supplier Audit HQ-SA-95-001. Due to the results of this audit, the audit team will recommend GESCO for placement on OCRWM's Qualified Suppliers List (QSL) as a qualified supplier.

In summary, of the ten QA Program Elements that are appropriate to GESCO's responsibilities, all have now been found to be implemented satisfactorily.

The audit team identified two deficiencies, which were corrected during the audit (CDA). The CDAs are described in Section 5.5.2 of this report. Also, there were three recommendations presented for consideration by GESCO management which are described in Section 6 of this report.

2.0 SCOPE

The supplier audit was conducted to evaluate the adequacy and effectiveness of GESCO's implementation of their QA Program. The QA Program Elements and requirements evaluated during the audit, in accordance with the approved audit plan, are as follows:

1.0	Organization*
2.0	Quality Assurance Program
4.0	Procurement Document Control
5.0	Instructions, Procedures, Plans, and Drawings*
6.0	Document Control*
7.0	Control of Purchased Items and Services
15.0	Control of Nonconformances
16.0	Corrective Action
17.0	Quality Assurance Records
18.0	Audits

*Note: Limited scope due to satisfactory results from audit HQ-SA-95-001

The following QA Program Elements were not reviewed during the audit because they have been deemed outside GESCO's scope of responsibility:

3.0	Design Control
8.0	Identification and Control of Items
9.0	Control of Special Processes
10.0	Inspection
11.0	Test Control
12.0	Control of Measuring and Test Equipment
13.0	Handling, Storage, and Shipping
14.0	Inspection, Test, and Operating Status

Requirements were taken from the GESCO QA Plan, the SEG Quality Management System Manual (and related implementing procedures), the Design Procurement Specifications, and the Contract Statement of Work.

3.0 AUDIT TEAM AND OBSERVERS

The following is a list of audit team members, their assigned areas of responsibility, and observers:

NAME	TITLE/ORGANIZATION	QA PROGRAM ELEMENT
Richard Peck	Audit Team Leader/QATSS	All Elements
Jack Walsh	Auditor/QATSS	Elements 4,6,17,18
Hugh Lentz	Auditor/QATSS	Elements 1,2,5,18
Charles Betts	Auditor/QATSS	Elements 7,15,16,18
Dick Boyt	Observer/TESS	NA
Jim Tierney	Observer/TESS	NA
Bob Clark	Observer/DOE	NA
Dennis Reid	Observer/NRC	NA
Prasanna Kumar	Observer/DOE	NA

4.0 AUDIT MEETINGS AND PERSONNEL CONTACTED

A preaudit meeting was held at the GESCO offices in Oak Ridge (Gallaher Road), Tennessee on December 11, 1995. A daily debriefing status meeting was held with GESCO management and staff to discuss issues and potential deficiencies. The GESCO Project Manager participated in these meetings via telecon from the Sunnyvale Office. The audit concluded with a post audit meeting held at GESCO's offices on December 14, 1995. Personnel contacted during the audit are listed in Attachment 1. The list also identifies those who attended the preaudit and post audit meetings.

5.0 SUMMARY OF AUDIT RESULTS

5.1 Program Effectiveness

The audit team concluded that GESCO is now adequately and effectively implementing its QA Program

5.2 Stop Work or Immediate Corrective Actions Taken

There were no Stop Work Orders or immediate corrective action measures necessary.

5.3 QA Program Audit Activities

A summary table of audit results is provided in Attachment 2. The details of the audit evaluation, along with the objective evidence reviewed, are contained within the audit checklists. The checklists are kept and maintained as QA Records.

5.4 Technical Activities

Because the audit was conducted to evaluate programmatic adequacy and implementation by GESCO of its QA Program, the audit team did not evaluate any technical activities.

5.5 Summary of Deficiencies

5.5.1 Corrective Action

As a result of the audit, there were no new deficiency documents issued. The audit team was able to verify the necessary objective evidence for closure of Corrective Action Requests (CARs) HQ-95-014 and HQ-95-015, Deficiency Reports (DRs) HQ-95-002 through -008, and Performance Reports (PRs) HQ-95-P-002 and HQ-95-P-003. These deficiency documents were identified as a result of supplier audit HQ-SA-95-001.

5.5.2 Deficiencies Corrected During the Audit

Deficiencies which are considered isolated in nature and only require remedial action may be corrected during the audit. The following deficiencies were corrected during the audit relative to the applicable GESCO implementing procedure:

1. **SEG/QA-15.1-** The audit team noted that Nonconformance Reports (NCRs) 95-172 and 95-185 had not been signed by the originator. Additionally, the responsible manager's signature and date had not been indicated on NCRs 95-252 and 95-280. A 100% review of all NCRs was then conducted and an additional three NCRs were found to have missing signatures (e.g., NCRs 95-152, 95-176, 95-180). It was determined that these errors were due to the transposing of existing information from the old NCR forms to the new form mandated by the latest revision of the NCR procedure. All NCRs were corrected immediately by affixing the appropriate signature to the new NCR form.

2. **SEG/QA-17.2-** The audit team found eight examples of records requested from the GESCO records group, and subsequently returned, did not have the "date returned" section completed in the record out log. The "date returned" was entered as a late entry by GESCO records personnel during the course of the audit. This was considered minor in nature and no additional corrective action was required.

6.0 RECOMMENDATIONS

The following recommendations resulted from the audit and are presented for consideration by GESCO management:

1. The recent revision to SEG/QA-15.1, "Nonconformance Reporting," revision 5, calls for transposing open NCRs to the revision 5 form. This resulted in the validation date occurring after the disposition approval date. Therefore, it is recommended that GESCO place a letter into each of the affected NCR files documenting the scenario concerning the validation and the disposition dates being out of sequence.

2. In an effort to make the NCR form more user friendly, it is recommended that:
 - A) The date the disposition was provided and the disposition approval signature be added to section 4 (step 12) of the NCR form.

 - B) GESCO review the NCR form and consider eliminating unnecessary signatures.

7.0 LIST OF ATTACHMENTS

Attachment 1: Personnel Contacted During the Audit
Attachment 2: Summary Table of Audit Results

ATTACHMENT 1
Personnel Contacted During the Audit

NAME	ORGANIZATION/TITLE		CONTACT	MEETINGS	
				PRE	POST
C. Betts	QATSS	Auditor	x	x	x
D. Boyt	M&O	Observer		x	
R. Clark	DOE	Observer, HQAD			x
J. Fillmore	SEG	Doc. Control Admin. Assistant	x		
L. Galyon	SEG	QA Engineer	x		x
K. Grumski	SEG	QA Engineer	x		x
L. Hodges	SEG	Mgr., Quality Verification	x	x	x
M. Kavchak	SEG	VP, Quality Assurance	x	x	x
P. Kumar	DOE	Observer		x	
H. Lentz	QATSS	Auditor	x	x	x
D. Lewis	SEG	Quality Specialist	x		x
W. Menzel	SEG	Lead Auditor	x		
R. Mitchell	SEG	Quality Specialist	x		
R. Peck	QATSS	Audit Team Leader	x	x	x
J. Pride	SEG	Executive VP		x	x
D. Reid	NRC	Observer		x	x
C. Ross	GESCO	QA Engineer	x	x	
H. Smith	GESCO	QA Manager	x	x	x
E. Swierkowski	SEG	Chief Operating Officer		x	
J. Tierney	M&O	Observer		x	x
J. Walsh	QATSS	Auditor	x	x	x

ATTACHMENT 2
Summary Table of Audit Results

AUDIT OQA-SA-96-001 DETAIL SUMMARY							
ELEMENT	DOCUMENTS REVIEWED	HQAD CARs	CDA	HQAD PR/DR	RECOM	COMPLIANCE	OVERALL
1	QA PLAN SECTION 4.1						SAT
	QMSM PART A SECTION 1.0						
2	QA PLAN SECTION 4.2						SAT
	QMSM PART A SECTION 2.0						
	SEG/QA-2.1						
	SEG/QA-2.2						
4	QA PLAN SECTION 4.4						SAT
	SEG/QA-4.1						

ELEMENT	DOCUMENTS REVIEWED	HQAD CARs	CDA	HQAD PR/DR	RECOM	COMPLIANCE	OVERALL
5	QA PLAN SECTION 4.5						SAT
	QMSM PART B SECTION 2.0						
	SEG/QA-5.1						
6	SEG/QA-6.1						SAT
7	QA PLAN SECTION 4.7						SAT
	QMSM PART B SECTION 4.0						
	SEG/QA-7.2						
	SEG/QA-7.3						

ELEMENT	DOCUMENTS REVIEWED	HQAD CARs	CDA	HQAD PR/DR	RECOM	COMPLIANCE	OVERALL
15	QA PLAN SECTION 4.15						SAT
	QMSM PART B SECTION 11.0						
	SEG/QA-15.1		NO. 1		NOs. 1&2		
	SEG/QA-15.2						
	SEG/QA-15.3						
16	QA PLAN SECTION 4.16						SAT
	QMSM PART B SECTION 12.0						
	SEG/QA-16.1						
	SEG/QA-16.2						
17	QA PLAN SECTION 4.17						SAT
	SEG/QA-17.1						
	SEG/QA-17.2		NO. 2				

ELEMENT	DOCUMENTS REVIEWED	HQAD CARs	CDA	HQAD PR/DR	RECOM	COMPLIANCE	OVERALL
18	QA PLAN SECTION 4.18						SAT
	QMSM PART B SECTION 15.0						
	SEG/QA-18.1						
	SEG/QA-18.2						
TOTAL			2		2		SAT

CARs Corrective Action Requests
 CDA Corrected During Audit
 PR/DR Performance/deficiency Report
 RECOMMEND Recommendations
 COMPLIANCE Procedures Implemented
 OVERALL Summary of Element