

# Department of Energy

Washington, DC 20585

NOV 26 1996


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for Yucca Mountain Site  
Characterization Project  
TRW Environmental Safety Systems, Inc.  
Bank of America Center, Suite P-110  
101 Convention Center Drive  
Las Vegas, NV 89109

## ISSUANCE OF DR YM-97-D-007 RESULTING FROM OQA SUPPLIER AUDIT OQA-97-SA-004 OF ENERGY STEEL AND SUPPLY COMPANY

Enclosed is Deficiency Report (DR) YM-97-D-007 generated as a result of Office of Quality Assurance Supplier Audit OQA-97-SA-004.

Please provide a response to this deficiency that meets the applicable requirements of Administrative Procedure 16.1Q, Performance/Deficiency Reporting. Send the original of your response to Deborah Sult, OQA/QATSS, P.O. Box 98608, Mail Stop 455, Las Vegas, Nevada 89193-8608. Response to the DR is due 20 working days from issuance. Any extension to the due date must be requested in writing, with appropriate justification, prior to the due date.

If you have any questions, please contact either Mario R. Diaz at (702) 794-1489 or Richard L. Maudlin at (702) 794-1302.

  
Donald G. Horton, Director  
Office of Quality Assurance

OQA:MRD-0414

Enclosure:  
DR YM-97-D-007

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L. D. Foust

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cc w/encl:

T. A. Wood, DOE/HQ (RW-55) FORS

J. G. Spraul, NRC, Washington, DC

S. W. Zimmerman, NWPO, Carson City, NV

B. R. Justice, M&O, Las Vegas, NV

R. E. Armstrong, M&O, Las Vegas, NV

Records Processing Center

cc w/o encl:

W. L. Belke, NRC, Las Vegas, NV

R. L. Maudlin, OQA/QATSS, Las Vegas, NV

D. G. Sult, OQA/QATSS, Las Vegas, NV

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

THIS IS A DEFICIENCY REPORT  
☒ Deficiency Report  
NO. YM-97-D007  
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PERFORMANCE/DEFICIENCY REPORT

1 Controlling Document: Energy Steel and Supply Company (ESSC) Quality Assurance (QA) Manual, Revision 1, and Kiewit/Parsons Brinckerhoff (K/PB) Purchase Order (PO) 1848-0348		2 Related Report No. OQA-97-SA-004	
3 Responsible Organization: K/PB / Energy Steel & Supply		4 Discussed With: Robert J. Paton / Lisa Mitchell	
5 Requirement/Measurement Criteria: <p>ESSC QA Manual, Section 2.0 states in part: "All ESSC personnel responsible for the quality functions described in this manual shall, as a minimum, read and understand the following: ....Procedures referenced on the persons Training Matrix Form (F-130) as being required."</p> <p>ESSC QA Manual, Section 2.0 states in part: "Lead Auditors shall be qualified in accordance with the requirements of ANSI N45.2.23 or NQA-1 Supplement 2S-3 and 2A-3 as described in the ESSC Auditor Qualification procedure Q2.3"</p> <p>Continued on page 3</p>			
6 Description of Condition: <p>Contrary to the above:</p> <p>A. There was no documented evidence that the contract person performing quality affecting activities for ESSC had documented understanding of the procedure that was required to be implemented to perform the work (i.e.; YMP-1735A, Rev 1).</p> <p>B. An ESSC individual had been assigned to act as a Lead Auditor for the QA portion of the 1996 Internal Audit; however, there was no documented evidence that this person was certified as a Lead Auditor.</p> <p>C. Herron Testing Laboratory purchase orders 6H021 and 06J066 did not include requirements for pass down of QA requirements to subtier suppliers.</p> <p>Continued on page 3</p>			
7 Initiator Richard L. Maudlin Date 11/19/96		9 Is condition an isolated occurrence? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown; Must be Yes if PR	
10 Recommended Action: (Not required for PR) <p>A. Determine if there was any impact on quality due to the lack of documented training of the contract employee. Review the training records for all contract employees to determine if this condition exists elsewhere. Generate a memo to file indicating the status of training of the contract employee in question.</p> <p>Continued on page 3</p>			
11 QA Review: QAR Date 11/19/96		12 Response Due Date 20 working days from issuance	
13 Affected Organization QA manager Issuance Approval: (QAR for PR) Printed Name DONALD G. HERRON		Signature Date 11/25/96	
22 Corrective Action Verified QAR Date		23 Closure Approved by: (N/A for PR) AOQAM Date	

Enclosure

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WASHINGTON, D.C.

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PERFORMANCE/DEFICIENCY REPORT RESPONSE

14 Remedial Actions:

15 Extent of Condition: (Not required for PR)

16 Root Cause Determination: (Not required for PR)

Required

☐ Yes

☐ No

17 Action to Preclude Recurrence: (Not required for PR)

Required

☐ Yes

☐ No

18 Corrective Action Completion Due Date:

19 Response by:

☐ Initial

☐ Amended

Date

Phone

20 Response Accepted

QAR

Date

21 Response Accepted (N/A for PR):

AOQAM

Date

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

<sup>8</sup> ☐ Performance Report  
☒ Deficiency Report  
NO. YM-97-D007  
PAGE 3 OF 3 QA: L

**PR/DR CONTINUATION PAGE**

**BLOCK 5 REQUIREMENT/MEASUREMENT CRITERIA: (continued)**

ESSC QA Manual, Section 4.0 states in part: "The sales engineer shall include the applicable material and customer requirements on the purchase order draft as appropriate and shall include:....Requirements that the supplier incorporate appropriate QA program requirements in subtier procurement documents."

ESSC Procedure Q16.1, Revision 0, Paragraph 3.6 states in part: "Following the QA Manager approval of the disposition and corrective action, the Nonconformance Report (NCR) shall be submitted to the Vice President, Quality Assurance, for verification of completed disposition and corrective action as follows:...."

**BLOCK 6 DESCRIPTION OF CONDITION: (continued)**

- D. Requirements from K/PB PO 1848-0348 relating to suppliers assuring that suspect or counterfeit parts are not provided as part of the procured item were not passed down by ESSC to Dysan in ESSC PO 05A058.
- E. ESSC NCR 0758 was closed on April 22, 1996 prior to completion of the disposition which required the noted thread gauge to be calibrated by the end of April. The thread gauge was not calibrated until June 27, 1996.

**BLOCK 10 RECOMMENDED ACTION: (continued)**

- B. Take the necessary measures to document the certification of all personnel involved in audits as Lead Auditors. Identify the measures to be taken to assure that all Lead Auditors are certified in the future.
- C. Take a representative sample of other Purchase Orders to determine if this is an isolated condition. If not, take the necessary action to assure that all quality related purchase orders in the future include requirements for pass down of quality requirements to subtier suppliers.
- D. Identify and document what actions were taken by ESSC or Dysan in assuring that the items provided by Dysan were evaluated for counterfeit requirements. Identify the cause of this condition. Identify what action will be taken in the future to assure that all customer requirements are included in ESSC procurement documents.
- E. Evaluate a sampling of other NCRs to determine if this is a repetitive condition. Evaluate and document why all corrective actions identified in the NCR disposition were not verified prior to closing the NCR. Identify and document the action to be taken to preclude recurrence.