



Department of Energy

Washington, DC 20585

DEC 23 1996

L. D. Foust, Technical Project Officer
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 DEFICIENCY REPORTS (DR) YM-97-D-015 THROUGH DR YM-97-D-018
RESULTING FROM OFFICE OF QUALITY ASSURANCE (OQA) SUPPLIER AUDIT
OQA-SA-97-005 OF WESTINGHOUSE ELECTRIC CORPORATION**

Enclosed are DR YM-97-D-015 through DR YM-97-D-018 generated as a result of OQA
Supplier Audit OQA-SA-97-005.

Please provide a response to these deficiencies that meets the applicable requirements of
Administrative Procedure 16.1Q, Performance/Deficiency Reporting. Send the originals of your
responses to Deborah Sult, OQA/QATSS, P.O. Box 98608, Mail Stop 455, Las Vegas,
Nevada 89193-8608. Responses to the DRs are due 20 working days from the date of this letter.
Extensions to due dates must be requested in writing, with appropriate justification, prior to the
due dates.

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

James Blaylock
Donald G. Horton, Director
Office of Quality Assurance

OQA:MRD-0572

Enclosure:
DRs YM-97-D-015 through
YM-97-D-018

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PDR WASTE
WM-11 PDR



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cc w/encl:

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

Records Processing Center = "14"

cc w/o encl:

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

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

R. W. Clark, DOE/OQA, Las Vegas, NV

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

8 Performance Report
 Deficiency Report
NO. YM-97-D015
PAGE 1 OF 3
QA: L

PERFORMANCE/DEFICIENCY REPORT

1 Controlling Document:

Westinghouse Electric Corp., Energy Services Div. QAM M65

2 Related Report No.

OQA-97-SA-005

3 Responsible Organization:

M&O/Westinghouse Electric Corp.

4 Discussed With:

Greg Parker, John Janson, Gail Abend

5 Requirement/Measurement Criteria:

Westinghouse QAM, Section 6.01, paragraph 5.1 states in part: "All ESD functional departments who procure subcontracted services and materials for incorporation in the services that we supply to our customers shall: Evaluate and select subcontractors on the basis of their ability to meet subcontract requirements including this quality system and any quality assurance requirements."

6 Description of Condition:

See Page 3

7 Initiator

[Signature]

Date 12/06/96

9 Is condition an isolated occurrence?

Yes No Unknown; Must be Yes if PR

10 Recommended Action: (Not required for PR)

See Page 3

11 QA Review:

QAR *[Signature]*

Date 12/06/96

12 Response Due Date

20 working days from issuance

13 Affected Organization QA Manager Issuance Approval: (QAR for PR)

Printed Name Donald G. Horton

Signature *[Signature]*

Date 12/19/96

22 Corrective Action Verified

QAR

Date

23 Closure Approved by: (N/A for PR)

AOQAM

Date

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WASHINGTON, D.C.

PR/DR NO. YM-97-D015

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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

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PR/DR CONTINUATION PAGE

BLOCK 6, DESCRIPTION OF CONDITION, (continued)

A review of Westinghouse purchase orders LAED080-03 dated September 6, 1996, LAED945-03 dated May 15, 1996, and LAED933-03 dated April 30, 1996, revealed that the supplier (Dick Munns) was required to implement a program which satisfied the requirements of ANSI/NSCL Z-540-1-1994. In reviewing the calibration documentation received from Dick Munns by Westinghouse, there was no documented evidence that Dick Munns complied with the requirements of ANSI/NSCL Z-540-1-1994 in performing the requested calibrations.

NOTE: Dick Munns was audited in 1994 and is not redue for an audit by Westinghouse until March 1997. There is no documented evidence that Dick Munns QA program has been evaluated to determine if it meets the requirements of ANSI/NSCL Z540-1-1994.

BLOCK 10, RECOMMENDED ACTION, (continued)

- A. Take immediate action to evaluate Dick Munns QA program to determine if a program exists that complies with the requirements of ANSI/NSCL Z540-1-1994.
- B. If Dick Munns program does not meet the requirements, evaluate the impact of any calibrations required to be performed in accordance with ANSI/NSCL Z540-1-1994 to determine the effect on the services provided.
- C. If Dick Munns has a program which complies with ANSI-NCCL Z540-1-1994, request that this standard be made a reference in future certificates of calibration.
- D. Investigate and identify why these services were accepted without documentation to support that the requirements of the procurement document were met. Identify what action will be taken to prevent recurrence.
- E. Evaluate the extent of the condition noted in Block 6 to determine if similar conditions exist elsewhere.

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PERFORMANCE/DEFICIENCY REPORT

1 Controlling Document:

Westinghouse Electric Corp., Energy Services Div. QAM M65

2 Related Report No.

OQA-97-SA-005

3 Responsible Organization:

M&O/Westinghouse Electric corp.

4 Discussed With:

Greg Parker, John Janson, Gail Abend

5 Requirement/Measurement Criteria:

Westinghouse QAM, Section 5.00, paragraph 2.2 states in part: "A master list or equivalent document control procedure (identifying current revision status of documents) shall be established and be readily available to personnel to preclude the use of invalid and/or obsolete documents."

6 Description of Condition:

Contrary to the above, there is no documented evidence in the form of a master list or equivalent document control procedure which identifies documents and revision status of shop procedures and technical calibration manuals.

NOTE: It should be noted that prior to completion of the audit, a partial master list was prepared which listed the Quality Systems Procedures. It was indicated that the Master List of controlled documents should be completed by the end of January, 1997.

7 Initiator

[Signature]

Date 12/06/96

9 Is condition an isolated occurrence?

Yes No Unknown; Must be Yes if PR

10 Recommended Action: (Not required for PR)

Complete the compilation of the Master List of documents. Distribute the list to the appropriate personnel or make the list readily available to personnel performing calibration.

11 QA Review:

QAR

[Signature]

Date 12/06/96

12 Response Due Date

20 working days from issuance

13 Affected Organization QA Manager Issuance Approval: (QAR for PR)

Printed Name Donald G. Horton

Signature

[Signature]

Date 12/19/96

22 Corrective Action Verified

QAR

Date

23 Closure Approved by: (N/A for PR)

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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)

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18 Corrective Action Completion Due Date:

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PERFORMANCE/DEFICIENCY REPORT

1 Controlling Document Westinghouse Electric Corp., Energy Services Div. QAM M65	2 Related Report No. OQA-97-SA-005
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3 Responsible Organization: M&O/ Westinghouse Electric Corp.	4 Discussed With: Greg Parker, John Janson, Gail Abend
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5 Requirement/Measurement Criteria:
Westinghouse QAM, Section 13.01, paragraph 4.2.1 states in part: "Functional department personnel who discover nonconforming product shall identify the condition by tagging or marking the product. In addition, the nonconformance shall be brought to the attention of the...shop supervisor and documented in the applicable nonconformance system."

6 Description of Condition:
A review of Westinghouse purchase order LAE 587, dated January 10, 1996, revealed that equipment 5700A, SN 4930003 and 5725A, SN 5105013 was sent to Fluke Manufacturing in Everett, Washington, however, the equipment was actually calibrated by FLW in Costa Mesa, California, who was not a qualified Westinghouse supplier. No corrective action document was generated to document this nonconforming condition.

7 Initiator <i>Shanell</i> Date <u>12/06/96</u>	9 Is condition an isolated occurrence? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Unknown; Must be Yes if PR
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- 10 Recommended Action: (Not required for PR)
- A. Determine and document the impact on the quality of the service due to the use of an unqualified supplier.
 - B. Investigate the cause as to why a nonconformance was not generated as required by the QA program. Evaluate the extent of the condition to determine if this is a recurring condition.
 - C. Investigate and document why and how the condition occurred. Identify and document what action(s) have been or will be taken to prevent this condition from recurring.

11 QA Review: QAR <i>Shanell</i> Date <u>12/06/96</u>	12 Response Due Date 20 working days from issuance
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13 Affected Organization QA Manager Issuance Approval: (QAR for PR) Printed Name <u>Donald G. Horton</u>	Signature <i>James Blaylock</i> Date <u>12/14/96</u>
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22 Corrective Action Verified QAR _____ Date _____	23 Closure Approved by: (N/A for PR) AOQAM _____ Date _____
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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

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PERFORMANCE/DEFICIENCY REPORT

1 Controlling Document: Westinghouse Electric Corp, Energy Services Div. QAM M65	2 Related Report No. OQA-97-SA-005
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3 Responsible Organization: M&O/Westinghouse Electric Corp.	4 Discussed With: Greg Parker, John Janson, Gail Abend
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5 Requirement/Measurement Criteria:
Westinghouse QAM, Section 17.00, paragraph 2.5 states in part: "Audits shall be performed in accordance with documented procedures and/or checklists."

6 Description of Condition:
Contrary to the above, no documented evidence could be provided in the form of procedures and/or checklists for the 1996 Nuclear Audit performed on May 20-23, 1996.

7 Initiator <i>D. Small</i> Date <u>12/06/96</u>	9 Is condition an isolated occurrence? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Unknown; Must be Yes if PR
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10 Recommended Action: (Not required for PR)

- A. Provide a copy of the procedures and/or checklist used to perform the 1996 Nuclear Audit of Westinghouse, ESD, Garden Grove to Westinghouse - ESD and file.
- B. If a checklist and/or procedures cannot be found, evaluate and document the impact on quality.
- C. Investigate and document why copies of audit documentation required by the procedure are not maintained and available in the Westinghouse, Garden Grove facility. Document the measure which will assure that this documentation will be either maintained in the files at the Westinghouse, Garden Grove facility and/or the measures to assure that the records are readily retrievable to support future audits.

11 QA Review QAR <i>D. Small</i> Date <u>12/06/96</u>	12 Response Due Date 20 working days from issuance
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13 Affected Organization QA Manager Issuance Approval: (QAR for PR)
Printed Name Donald G. Horton Signature *James Blaylock Jr* Date 12/19/96

22 Corrective Action Verified QAR _____ Date _____	23 Closure Approved by: (N/A for PR) AOQAM _____ Date _____
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