



Department of Energy  
Washington, DC 20585

FEB 04 1997

QA: L

L. D. Foust  
Technical Project Officer  
for Yucca Mountain  
Site Characterization Project  
TRW Environmental Safety Systems, Inc.  
1180 Town Center Drive, M/S 423  
Las Vegas, NV 89134

EVALUATION OF RESPONSES TO DEFICIENCY REPORTS (DR) YM-97-D-015  
AND YM-97-D-016 RESULTING FROM OFFICE OF QUALITY ASSURANCE (OQA)  
SUPPLIER AUDIT OQA-SA-97-005 OF WESTINGHOUSE ELECTRIC CORPORATION

The OQA staff has evaluated the responses to DRs YM-97-D-015 and YM-97-D-016. The responses have been determined to be satisfactory. Verification of completion of the corrective actions will be performed after the effective dates provided. Any extension to these dates must be requested in writing, with appropriate justification, prior to the date. Please send a copy of extension requests to Deborah Sult, OQA/QATSS, P.O. Box 98608, Mail Stop 455, Las Vegas, Nevada 89193-8608.

If you have any questions, please contact either James Blaylock at (702) 794-1420 or Richard L. Maudlin at (702) 794-1302.

Donald G. Horton, Director  
Office of Quality Assurance

OQA:JB-0823

Enclosure:  
DR YM-97-D-015 and  
YM-97-D-016

cc w/encl:  
T. A. Wood, DOE/HQ (RW-55) FORS  
J. O. Thomas, NRC, Washington, DC  
S. W. Zimmerman, NWPO, Carson City, NV  
B. R. Justice, M&O, Las Vegas, NV  
R. A. Morgan, 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  
R. W. Clark, DOE/OQA, Las Vegas, NV

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

ORIGINAL  
8 ☐ Performance Report  
☒ Deficiency Report

NO. YM-97-D015

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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

*McNeill*

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

*McNeill*

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

*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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WASHINGTON, D.C.

PR/DR NO. YM-97-D015

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QA: L 1/23/97

PERFORMANCE/DEFICIENCY REPORT RESPONSE

14 Remedial Actions:

Dick Munns QA program was evaluated based upon the requirements of both ANSI/NCSL Z540-1-1994 and ISO 100012-1 for equipment calibration under current contract requirements. It has been determined that ISO 10012-1 is equivalent to the requirements of ANSI/NCSL Z540-1-1994, and therefore determined that no adverse impacts exist. Program review results have been documented (See attached memorandum from Greg Parker to David Van Bibber, dated January 16, 1997).

15 Extent of Condition: (Not required for PR)

The extent of this condition is limited to this procurement and Dick Munns as the subcontracted vendor.

16 Root Cause Determination: (Not required for PR)

Required ☒ Yes ☐ No

Interview discussions with Greg Parker, WEC/ESD QA Manager, identified the Root Cause Determination as Code 3Ab, as prescribed in AP-16.4Q.

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

Required ☒ Yes ☐ No

See attached page. Response is directed to resolve issues identified in Block 10, Recommended Action.

4 of 4 continuation page  
PR 1/23/97

18 Corrective Action Completion Due Date:

03/03/97

19 Response by: David Van Bibber

☒ Initial  
☐ Amended

Date 01/23/97

Phone (702)295-5072

20 Response Accepted

QAR

Date

01/24/97

21 Response Accepted (N/A for PR):

AOQAM

Date

2/4/97

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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-NSCL 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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**PR/DR CONTINUATION PAGE**

**Attachment to Block 17.**

**DR: YM-97-D015, Block 17 (continued) Response to Block 10, Recommended Actions.**

**A. Take action to evaluate Dick Munns QA program to determine if a program exists that complies with the requirements of ANSI/NCSL Z540-1-1994.**

**Response:** Dick Munns QA program was evaluated based upon the requirements of both ANSI/NCSL Z540-1-1994 and ISO 10012-1 for equipment calibration under current contract requirements. It has been determined that ISO 10012-1 is equivalent to the requirements of ANSI/NCSL Z540-1-1994, and therefore determined that no adverse impacts exist.

**Action to correct this condition will be take to modify the current contractual requirements with Dick Munns to allow for both, ANSI/NCSL Z540-1-1994 and ISO 10012-1 programs to be acceptable. Modification of this contract will be completed by March 3, 1997.**

**A Quality Assurance audit is scheduled to be performed at Dick Munns in March 1997. This audit will be performed to verify that work activities performed by Dick Munns comply with QA program requirements to include audit activities and subsequent documentation of corrective actions.**

**B. If Dick Munns' program does not meet the requirements, evaluate the impact of any calibrations required to be performed in accordance with ANSI/NCSL Z540-1-1994, to determine the effect on the services provided.**

**Response:** Dick Munns' QA program was evaluated and results identified that no adverse programmatic impacts exist. Also, see item A above.

**C. If Dick Munns has a program which complies with ANSI/NCSL Z540-1-1994, request that this standard be made a reference in future certificates of calibration.**

**Response:** As presented in the response in item A, above, contract requirements will allow for the vendor to work in compliance with either QA program, to include ANSI/NCSL Z540-1-1994 and ISO 10012-1.

**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.**

**Response:** This issue was evaluated and results indicated that when the equipment returned from the vendor, the certificate of calibration identified that a "like" program was implemented for calibration. This was determined to be caused by an oversight on the part of individual who performed the receipt inspection. Action was taken to identify that the program, which the vendor implemented, was acceptable and the activity, for which the individual performed the receipt inspection, was corrected.

**E. Evaluate the extent of the condition noted in Block 6 to determine if similar conditions exist elsewhere.**

**Response:** A review of vendor documentation submittals was completed and results indicated that no other issues related to the identified deficiency exist.



## Memorandum

Westinghouse Electric Corporation

**DATE:** January 16, 1997  
**TO:** David Van Bibber CRWMS M&O  
**FROM:** Greg Parker, ~~TO~~  
**RE:** Dick Munns Quality Program

7341 Lincoln Way  
Garden Grove, CA 92641  
Tel: (714) 372-5600  
Fax: (714) 372-5655

Dear David;

1. Future purchase orders issued to sub vendors will contain a statement that all services rendered to Westinghouse must be in accordance with ANSI/NCSL Z540-1994-1 or ISO Guide 10012.

2. After a review of ISO Guide 10012, it was determined that the requirements set forth are equivalent to and may be substituted for ANSI/NCSL Z540-1994-1.

3. Dick Munns CO compliance with the requirements of ISO Guide 10012 will be verified during the re-audit of the Dick Munns CO in March 1997.

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NO. YM-97-D016

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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 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)

AOQAM

Date

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PR/DR NO. YM-97-016  
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PERFORMANCE/DEFICIENCY REPORT RESPONSE

14 Remedial Actions:

A master document control listing has been partially completed to include Westinghouse internally developed and controlled documents and procedures (see attachment to the initial response, dated 1/24/97). A complete listing, which will include technical calibration procedures applicable to OCWRM program will be completed and submitted by March 3, 1997.

15 Extent of Condition: (Not required for PR)

The extent of this condition is limited to this one issue.

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:

03/03/97

19 Response by: David R. Van Bibber

☐ Initial  
☒ Amended

Date 01/27/97

Phone (702)295-5072

20 Response Accepted

QAR

Date

01/28/97

21 Response Accepted (N/A for PR)

AQAM

Date

2/4/97



## AS R DOCUMENT CONTROL LOG

Date Received	Item Received	Description	Revision Number	Revision Date	Recalled Revision	QC Initials	Comments
11/21/96	M65	Section 0.00	3	10/96	n/a		
11/21/96	M65	Section 0.01	2	9/95	n/a		
11/21/96	M65	Section 1.00	3	5/96	n/a		
11/21/96	M65	QSP 1.01	1	8/95	n/a		
11/21/96	M65	Section 2.00	5	9/96	n/a		
11/21/96	M65	QSP 2.01	2	9/96	n/a		
11/21/96	M65	Section 3.00	3	5/96	n/a		
11/21/96	M65	QSP 3.01	1	8/95	n/a		
11/21/96	M65	QSP 3.02	0	3/96	n/a		
11/21/96	M65	QSP 3.03	1	8/96	n/a		
11/21/96	M65	QSP 3.04	0	3/96	n/a		
11/21/96	M65	QSP 3.05	0	3/96	n/a		
11/21/96	M65	QSP 3.06	0	4/96	n/a		
11/21/96	M65	Section 4.00	1	10/94	n/a		
11/21/96	M65	QSP 4.01	1	8/95	n/a		
11/21/96	M65	Section 5.00	2	10/94	n/a		
11/21/96	M65	QSP 5.01	2	10/96	n/a		
11/21/96	M65	QSP 5.02	0	9/96	n/a		
11/21/96	M65	Section 6.00	1	10/94	n/a		
11/21/96	M65	QSP 6.01	1	8/95	n/a		
11/21/96	M65	Section 7.00	2	5/96	n/a		
11/21/96	M65	QSP 7.01	2	5/96	n/a		
11/21/96	M65	Section 8.00	1	10/94	n/a		
11/21/96	M65	QSP 8.01	1	8/95	n/a		
11/21/96	M65	Section 9.00	2	10/94	n/a		
11/21/96	M65	QSP 9.01	1	8/95	n/a		
11/21/96	M65	Section 10.00	1	10/94	n/a		
11/21/96	M65	QSP 10.01	1	8/95	n/a		
11/21/96	M65	Section 11.00	1	10/94	n/a		
11/21/96	M65	QSP 11.01	1	8/95	n/a		
11/21/96	M65	Section 12.00	1	10/94	n/a		
11/21/96	M65	QSP 12.01	1	8/95	n/a		
11/21/96	M65	Section 13.00	1	10/94	n/a		
11/21/96	M65	QSP 13.01	1	8/95	n/a		
11/21/96	M65	QSP 13.02	0	3/96	n/a		
11/21/96	M65	Section 14.00	1	10/94	n/a		
11/21/96	M65	QSP 14.01	1	8/95	n/a		
11/21/96	M65	Section 15.00	2	10/94	n/a		
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11/21/96	M65	QSP 15.02	0	3/96	n/a		
11/21/96	M65	Section 16.00	2	10/94	n/a		
11/21/96	M65	QSP 16.01	2	11/96	n/a		
11/21/96	M65	Section 17.00	2	10/94	n/a		
11/21/96	M65	QSP 17.01	1	8/95	n/a		
11/21/96	M65	Section 18.00	1	10/94	n/a		
11/21/96	M65	QSP 18.01	4	11/96	n/a		
11/21/96	M65	Section 19.00	1	10/94	n/a		
11/21/96	M65	Section 20.00	1	10/94	n/a		
11/21/96	M65	QSP 20.01	1	8/95	n/a		
11/21/96	M65	QSP 20.02	1	11/96	n/a		
11/21/96	M65	Section 21.00	1	10/94	n/a		
11/22/96	LAQPM	SOP 1.01	1	11/96	0		
11/22/96	LAQPM	SOP 2.01	1	11/96	0		
11/22/96	LAQPM	SOP 3.01	1	11/96	0		
11/22/96	LAQPM	SOP 4.01	0	8/96	n/a		
11/22/96	LAQPM	SOP 5.01	0	8/96	n/a		
11/22/96	LAQPM	SOP 6.01	0	8/96	n/a		
11/22/96	LAQPM	SOP 7.01	0	8/96	n/a		
11/22/96	LAQPM	SOP 8.01	0	8/96	n/a		
11/22/96	LAQPM	SOP 9.01	0	8/96	n/a		
11/22/96	LAQPM	SOP 10.01	1	11/96	0		
11/22/96	LAQPM	SOP 11.01	0	8/96	n/a		
11/22/96	LAQPM	SOP 12.01	1	11/96	0		

QCF-0683-2

## NAS R DOCUMENT CONTROL LOG

Date Received	Item Received	Description	Revision Number	Revision Date	Recalled Revision	QC Initials	Comments
11/22/96	LAQPM	SOP 13.01	0	8/96	n/a	<del>QC</del>	
11/22/96	LAQPM	SOP 14.01	1	11/96	0	<del>QC</del>	
11/22/96	LAQPM	SOP 15.01	0	8/96	n/a	<del>QC</del>	
11/22/96	LAQPM	SOP 16.01	0	8/96	n/a	<del>QC</del>	
11/22/96	LAQPM	COM-002	1	11/96	0	<del>QC</del>	
11/22/96	QAP 13	QAP 13	0		0	<del>QC</del>	