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OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT

QUALITY ASSURANCE AUDIT REPORT OQA-SA-97-030

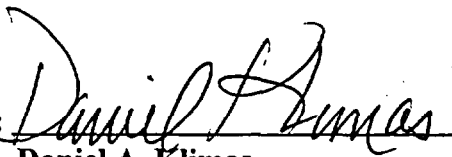
OF

ARGONNE NATIONAL LABORATORY

ARGONNE, ILLINOIS

SEPTEMBER 16-17, 1997

Prepared by:

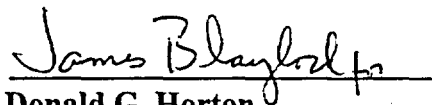


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Office of Quality Assurance

Date:

10/2/97

Approved by:



Donald G. Horton
Director
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Date:

10/8/97

1.0 EXECUTIVE SUMMARY:

The results of the supplier audit of Argonne National Laboratory (ANL) revealed satisfactory implementation of the Quality Assurance (QA) requirements for the Office of Civilian Radioactive Waste Management (OCRWM) activities. ANL is conducting the Spent Fuel Waste Form Testing and the Glass Wasteform Testing activities. Implementation of ANL's QA program and procedures were determined to be effectively implemented; however, two conditions requiring corrective action were identified:

- (1) The calibration services of a supplier for a thermometer used in testing activities was procured as a commercial grade procurement (non-quality affecting) and no evaluation was performed on the supplier.
- (2) There is no documented procedure that describes the requirements for performing internal and external audits, scheduling and deficiency tracking as required by ANL's QA Plan.

The unsatisfactory conditions identified during the audit were discussed with the management representatives at ANL who agreed to correct the deficient conditions. Corrective actions associated with Deficiency Reports (DR) YM-97-D-089 and YM-97-D-090 will be evaluated by the Office of Quality Assurance (OQA) and closed as appropriate. The unsatisfactory conditions are detailed in Section 6.0.

2.0 SCOPE:

The supplier audit was conducted to evaluate the adequacy, implementation and effectiveness of ANL's QA program. This was accomplished by determining if ANL's QA program implements the quality and technical requirements for those tasks described in CRWMS M&O's Memorandum Purchase Order A05532LM6X, ANL's QA Plan YMP-02-001, Revision 2, dated 9/24/96, and OCRWM's Quality Assurance Requirements and Description (QARD) document for the intended scope of work. The QA program elements determined to be applicable are: Organization; QA Program; Procurement Document Control; Implementing Documents; Document Control; Control of Purchased Items and Services; Identification of Control of Items; Control of Measuring and Test Equipment; Handling, Storage and Shipping; Nonconformances; Corrective Action; QA Records; Audits and Scientific Investigations.

3.0 AUDIT TEAM AND OBSERVERS:

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Dennis C. Threatt, Auditor, OQA
Ronald B. Berlién, Observer, CRWMS M&O
Jay C. Reynolds, Observer, EM (Lockheed Martin)

4.0 PERSONNEL CONTACTED DURING THE AUDIT:

John K. Bates, Functional Administrator, ANL
Roberta Riel, QA Records Administrator, ANL
Joe C. Hoh, Engineer, ANL
Bob T. Finch, Principal Investigator, ANL
Patricia Finn, Principal Investigator, ANL
Jeff Fortner, Principal Investigator, ANL
Edgar C. Buck, Individual Scientist, ANL

5.0 SUMMARY OF AUDIT RESULTS:

The ANL QA Plan, Revision 2, dated September 24, 1996, was found to be implementing the applicable elements of the OCRWM QARD, except as noted below, for the intended scope of work. Quality and technical procedures were in place, however, two conditions requiring corrective action were identified: (1) The calibration services for a thermometer was procured as a commercial procurement without evaluation and qualification of the supplier; and (2) There is no documented procedure for performing internal and external audits as required by the ANL QA Plan. Details of the unsatisfactory conditions are described in Section 6.0.

6.0 DEFICIENCIES/RECOMMENDATIONS:

The unsatisfactory conditions have been documented on DR YM-97-D089 and YM-97-D-090 and have been submitted to CRWMS M&O for resolution.

DR YM-97-D-089

Internal and external audits had been performed; however, there is no documented procedure that describes the detailed requirements for conducting audits, tracking systems for audit findings, and schedules for when audits will be performed as required by the QA Plan.

DR YM-97-D-090

ANL procured a thermometer for use in the YMP testing activities from the Eveready Thermometer Company who also calibrated the thermometer. This procurement was accomplished as a commercial grade procurement (non-quality affecting) and no supplier evaluation or qualification was performed on this supplier as required by ANL procedure.

RECOMMENDATION:

Terms such as significant conditions adverse to quality; conditions adverse to quality; potential adverse to quality, potential quality, audit findings, nonconformances and observations are all used in the QA Plan and procedures for reporting deficiencies. It is sometimes unclear as to which condition applies and if a response is required. It is recommended that these terms be reviewed to consolidate and better define documenting and reporting of adverse conditions.

cc w/encl:

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