



CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES
QUALITY ASSURANCE
SURVEILLANCE REPORT

33/83

PROJECT NO.: 20.01402.159

REPORT NO.: 2001-10

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SURVEILLANCE SCOPE: To determine whether there is effective implementation of the SwRI QA Programs as related to the CNWRA.

REFERENCE DOCUMENTS: QAP-004, Surveillance Control Procedure; CNWRA QA Manual, Section 1.6.1; SwRI Nuclear Program Audits.

STARTING DATE: August 15, 2001

ENDING DATE: August 19, 2001

QA REPRESENTATIVE: Bruce Mabrito

PERSONS CONTACTED:

S. Dannelly, R. Weber, SwRI QA. Audit records reviewed in the SwRI Quality Assurance Department building.

SATISFACTORY FINDINGS: This surveillance took place in the SwRI Quality Assurance Department and consisted of reviewing the SwRI Nuclear Program audits and others to determine if the audit results indicated effective implementation of the SwRI quality assurance programs which support the CNWRA. This review verified that activities and personnel governed by the Nuclear Quality Assurance Program Manual (NQAPM) meet the requirements equivalent to those of the CNWRA QA Program and that NQAPM qualified personnel, equipment and procedures may be used for CNWRA activities. The reports from the following audits were reviewed and it was determined that there is effective implementation of the NQAPM.

Several of the audit reports were organized according to 10 CFR 50 Appendix B or NQA-1 criteria, as would be expected. A range of nuclear-related activities conducted by SwRI, including those performed by various SwRI Divisions and Departments, were included in the audits reviewed. All the final audit reports were readily available and easily obtained from the QA filing cabinet. The audit review included those below and on attached pages.

NUPIC September 11-15, 2000 audit, report issued October 20, 2000, for "General Laboratory Analysis, Testing & Failure Analysis." Six total team members, led by Tom Dougan of Wold Creek Nuclear Operating Corp. Audit Report S285-A002, NUPIC No. 2351. Five findings. "SwRI implements an effective and comprehensive quality program." This NUPIC audit report was answered November 8, 2000 by SwRI. There was follow up NUPIC surveillance July 11, 2001 and a letter from NUPIC dated July 12, 2001 with no new findings and all previous findings except one was closed. The one that was left open was because the SwRI proposed corrective action was not yet fully accomplished.

Internal QA audits checked were these listed hereafter. 2000-AR-0015, April 24-28, 2000, on SwRI Mechanical & Materials Engineering Division; NQAPM, the SwRI Quality Systems Manual, and applicable implementing procedures and quality plans. Report stated the quality system in Div. 18 "is marginally effective." Staff who work routinely on projects with quality system requirements effectively meet the criteria, however personnel who work infrequently with it are unaware of the requirements and infrastructure to support them is deficient. Recommendations were in the audit report.

2000-AR-0017, April 13, 2000, on the SwRI Conflict of Interest Program. "Intent of COI program appears to be met, however the COI Administrative Practices are not consistent with the current procedure." This COI area is important to the CNWRA and other COI requirements imposed on SwRI.

2000-AR-018, April 18-19, 2000, SwRI NQAPM and the QSM on the Purchasing Department. Report stated "the most important elements of purchasing control are being practiced." Supplier Evaluation activities are being conducted. There were some follow up recommendations.

2000-AR-0025, June 12-16, 2000, Institute Quality Assurance audit, performed by auditors from outside the QA Department. There was a 186 question checklist, with 153 satisfactory, 31 unsat, and 2 N/A. General statement: Staff is generally knowledgeable of the quality system in place and generally knowledgeable of the quality mission statement. In some cases procedure compliance is assumed rather than practiced. The quality system can use improvements and fine tuning...."

2000-AR-0041, September 21, 2000, SwRI NQAPM Instrument & Radiation Safety Department Nuclear Projects Operating Procedures, Standard Operating Procedures, Standing Project Quality Plan. No nonconformances. Statement: "NPOPs, SOPs, Radiation Health and Safety Manual effectively identify the controls appropriate for the radioactive material control."

2000-AR-0046, December 11-15, 2000, SwRI Automotive Products & Emissions Research Division (APERD), ISO Guide 25, from the APERD Quality Manual, SwRI Quality System. Statement: Overall, the APERD is effectively implementing its quality program.

2001-AR-0010, May 1-2, 2001, SwRI Drug-Free Work Place Program. Statement: "Requirements are being effectively implemented."

2001-AR-0011, April 25-27, 2001, NQAPM & SwRI Quality System Manual, Mechanical & Materials Engineering Division. Statement: "The quality systems in Div. 18 are being effectively implemented."

(Continued on separate page in this package)

**CNWRA Surveillance Report 2001-10
Continuation Sheets**

Audit Review Continued.

2001-AR-0018, June 26-28, 2001, Audit of the SwRI Quality Systems Department by outside of SwRI QA auditors. Statement: "Except where noted, the Institute Quality Systems Department activities performed under the Operating Procedures and Work Instructions appear to be effectively implemented. Corrective measures concerning unsatisfactory findings should bring the Institute Quality Systems Department into complete compliance."

2001-AR-0027, July 31, 2001, Internal Annual Audit of the SwRI Radiation Safety Department, SwRI NQAPM, Nuclear Projects Operating Procedures. Program effectiveness: Implementation is effective, NPOPs, SOPs and Radiation Health & Safety Manual effectively identify the controls appropriate for control of irradiated samples.

In addition to the internal audits of SwRI, audits of suppliers to SwRI were reviewed. They are listed below.

2000-AR-0024, November 15, 2000, Scott Speciality Gases, Pasadena, TX, ISO 9002 implementation appears to be meeting ISO 9002 for products provided to SwRI. Follow up audit recommended.

2000-AR-0026, June 13, 2000, Duro-Sense Corporation, ANSI/NCSL Z540-1 (Z540), Torrance, CA facility. Manufactures and calibrates thermocouples. The calibration system appears to be effectively implemented.

2000-AR-0028, June 14, 2000, Isotope Products Laboratories, Burbank, CA. 10 CFR 50 Appendix B program. Acceptable, "effectively implemented" quality system. Added to the SwRI Approved Supplier List.

2000-AR-0031, September 6, 2000, National Standards Testing Laboratory, Rockville, MD. Satisfactory audit results and satisfactory calibration service history on the calibration system. Appears to be effectively implemented.

2000-AR-0032, August 3, 2000, RdF Corporation, Hudson, NH, Z540 addressed by RdF Corp. SOP 4.11. Acceptable.

2000-AR-0037, September 21, 2000, Space Imaging, Thornton, CO. Satisfactory audit results.

2001-AR-0019, June 29, 2001, An-Tech Laboratories, Inc., Houston, TX. Metal testing and calibration system. Satisfactory audit results.

2001-AR-0021, July 10, 2001, Aldrich Chemical Company, Milwaukee, WI. 10 CFR 50 Appendix B system. Based on the effective implementation of controls to assure chemical content and purity, it appears that Aldrich Chemical Company may be recommended for placement on the SwRI ASL as a supplier of chemical materials. [This directly affects the CNWRA QA program with regard to chemical standards ordered].

2001-AR-0023, July 24, 2001, Technology & Calibration, Inc., Houston, TX to ANSI/NCSL Z540. TCI was retained on the SwRI Approved Supplier List. Supplier of dead weight testers.


UNSATISFACTORY FINDINGS: None

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NONCONFORMANCE REPORT NO.: None.

ATTACHMENT: Continuation sheets of the audits reviewed. Original records are in SwRI QA Department.

RECOMMENDATIONS/ACTIONS: None.

APPROVED: 
CENTER DIRECTOR OF QUALITY ASSURANCE

DATE: 8/19/2001

DISTRIBUTION: ORIGINAL - CENTER QA DIRECTOR / QA Records

ORIGINATOR B. Mabrito / QA Records
PRINCIPAL SCIENTISTS (N/A)
ALL ELEMENT MANAGERS
B. Sagar, H. Garcia
M. Ehnstrom

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Tom



OCT 30 2000

October 20, 2000
PA 00-0053

Southwest Research Institute
6220 Culebra Road
P. O. Drawer 28510
San Antonio, TX 78220-0510

Attention: Mr. Donald Dunavant, QA Manager
Subject: Wolf Creek Nuclear Operating Corp. Audit Report - S285-A002

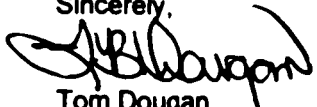
Dear Mr. Donald Dunavant:

Attached is the WCNOC Supplier Quality report of the audit performed at your San Antonio, TX facility on September 11-15, 2000.

There were five findings generated as a result of that audit. Response is required by 11/15/2000 with proposed corrective action identified.

The audit report is available to any NUPIC member upon request.

On behalf of Wolf Creek Supplier Quality, thank you for the assistance and hospitality provided during the audit. Should you have any questions, please contact me at 316 364-4251 or Mr. Terry L. Krause, Supervisor Supplier/Materials Quality at 316 364-4156.

Sincerely,

Tom Dougan
Supplier Quality Specialist
Audit Team Leader

Attachment: Audit Report
cc: Audit Team Members
G. R. Beckett (AE-ME), w/a
T. L. Krause (AE-SQ), w/a
J. D. Kitchens (AE-PUR), w/a
NPRDS File
Vault (CC-DS), w/a

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November 8, 2000

Wolf Creek Nuclear Operating Corp.
P.O. Box 411
Burlington, KS 66839

Attention: Tom Dougan, Lead Auditor

Subject: Responses to Wolf Creek Nuclear Operating Corp. Audit Number S285-A002

Dear Mr. Dougan;

Attached are completed Wolf Creek audit finding Reports of Noncompliance, (RON) Numbers S285-A002-02 through -05 resulting from the September 2000 NUPIC audit of Southwest Research Institute (SwRI). SwRI has carefully evaluated the circumstances described in each RON and feels confident that effective corrective action is being taken.

If you have any questions, please contact me at (210) 522-2942 or e-mail ddunavant@swri.edu or Rodney M. Weber, Institute QA Manager, at (210) 522-3161 or e-mail rweber@swri.edu.

Very truly yours,

Donald W. Dunavant, Manager
Quality Systems Technology

*Please file in
NUPIC 2000*

Attachments

DWD:gg
[q:\common\dunavant\dupresp.2000]



cc: Amos E. Holt
Rodney M. Weber
Thomas C. Trbovich
Robert D. Brient
Mark R. Ehnstrom
Chris Hobson
Jo Ann Boyd (01)
Mike Van Hecke (08)



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July 12, 2001
PA 01-00XX

Supplier: Southwest Research Institute
6220 Culebra Road
PO Drawer 28510
San Antonio, TX 78228-0510

Attention: Mr. Don Dunavant

Subject: Wolf Creek Nuclear Operating Corp. Surveillance Report - S285-S001

Dear : Mr. Dunavant

Attached is the WCNOG Supplier Quality report of the surveillance performed at your San Antonio, TX facility on 7/11/2001. The purpose of the surveillance was to verify implementation of corrective action for the Reports of Noncompliance, RONs S285-A002-02, S285-A002-03, S285-A002-04 and S285-A002-05 generated during the WCNOG audit S285-A002, September 11-15, 2000.

There were no new findings generated as a result of the surveillance. As a result of WCNOG SQ verification of SwRi corrective action activities, all findings with the exception of S285-A002-02 item 2 may now be closed. This finding, S285-A002-02 item 2, will remain open until completion of the proposed SWRI corrective action, a qualification audit by SWRI of the gas standards supplier facility, in Plumsteadville, PA, has been performed and documented.

ford charge

On behalf of Wolf Creek Supplier Quality, thank you for the assistance and hospitality provided during the surveillance. Should you have any questions, please contact me at (316) 364-4251 or Mr. Terry L. Krause, Supervisor Supplier/Materials Quality at (316) 364-4156.

Regards,

Thomas B. Dougan
Supplier Quality Specialist
Surveillance Team Leader

Attachment: Surveillance Report