



# Department of Energy

Richland Operations Office

P.O. Box 550

WM DOCKET CONTROL CENTER  
Richland, Washington 99352

June 8, 1987

87-QSD-163

'87 JUN 15 11:00

General Manager  
Rockwell Hanford Operations  
Richland, Washington

Dear Sir:

QUALITY ASSURANCE AUDIT 8604 ROCKWELL PEER REVIEW RESPONSE LETTER 30851, R1,  
DATED JULY 1, 1986

Quality Audit Findings (QAF) 8604-5, 8604-6 and 8604-7 have been closed. The completed QAFs are enclosed.

QAF 8604-5 is closed based upon the review of procedure 3-102, Rev. 0, "Peer Review," issued January 28, 1987, in Rockwell manual RHO-BW-MA-17. Both actions committed to in response to the QAF have been satisfactorily accomplished by issuance of the procedure.

QAF 8604-6 is closed based upon the action taken to close (QAF) 8604-4 (reference DOE letter 87-QSD-100 dated March 26, 1987). QAF 8604-4 was closed based upon a satisfactory review of your procedure PMP-3-102.

QAF 8604-7 is closed based upon Rockwell's current audit schedule of March 20, 1987, which indicates a planned Peer Review audit the last week in June 1987.

There are two remaining actions to be completed by Rockwell before we can close the 8604 audit file. Closure of QAFs 8604-2 and 8604-3 are contingent upon satisfactory completion of the action plan of review of previous peer reviews as stated in your letter to O. L. Olson dated July 25, 1986. If or when these actions have been completed, please notify us so we may verify and close out these QAFs and the audit.

Sincerely,

*R. P. Saget*

R. P. Saget, Director  
Quality Systems Division

QSD:TKS  
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Enclosure

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Rockwell

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cc w/encl:

D. C. Gibbs, Rockwell  
J. P. Knight, DOE-HQ  
D. C. Newton, DOE-HQ  
J. J. Linehan, NRC  
L. B. Ibe, Weston  
T. Husseman, Washington State  
Department of Ecology  
M. S. Power, Washington State  
Institute for Public Policy

D. Stewart-Smith, Oregon State  
Department of Energy  
B. Burke, Confederated Tribes  
of the Umatilla Indian Reservation  
R. Halfmoon, Nez Perce Indian Tribe  
R. Jim, Yakima Indian Nation  
A. Alkezweeny, On-Site Tribal  
Representative



## QUALITY AUDIT FINDING

9. QAF Control No.

8604-7

Date: 1-1-87

1. TO: Name

Title

L. R. Fitch

2. Location

Richland, Washington

3. Reference/Requirements

ANSI/ASME, NQA-1, 1983 and NRC Review Plan, Criterion 18.

4. Audit Or Surveillance Report No.

DOE/BWID 8604

## 5. Description

Control Subsystem 18.1, Audit Scheduling has two failure indicators that were evaluated. The indicators are:

- a. Failure to schedule audit of organizations performing peer review.
- b. Failure to perform scheduled audits in organizations/activities involved.

A review of audits and surveillances scheduled and performed in the organizations performing peer review indicates that failures occurred in both indicators as no auditing had been scheduled/ performed and no surveillances had been conducted since 1984.

6. Lead Auditor (Signature)

7. Issue Date

4/21/86

8. Response Due Date

5/21/86

10. Auditee Corrective Action Commitment

- a. Root Cause: Inadvertant omission.

Action: An evaluation is ongoing by the Basalt Waste Isolation Quality Assurance Auditing Group to determine the full extent of this error. The results of this evaluation should identify those activities which have gone on the longest without being audited. After the project has been restarted, the audit schedule for the remainder of Fiscal Year 1987 will reflect priority

NOTE: Action Shall Address Root Cause and Include Measures to Prevent Recurrence (See Attached Sheet)

11. Responsible Action Manager (Signature)

12. Date

6/27/86

13. Action Completion Due Date

11/1/86

## ACTION VERIFIED

14. Lead Auditor (Signature)

W. B. Williams

Peer Reviews scheduled for last week in  
July 1987 per latest Rockwell schedule of 3/20/87

15. Date

5/2/87

17. Final Distribution

ORIGINAL-Audit/Surveillance Report File

1--Addressee

2--

3--

16. Final Review and Approval (QAF Closed)

Mgr./Branch Chief, Cognizant Branch

5/28/87

Date

5. a. Failure to schedule audit of organization performing peer review.

Action: (continued)

attention for activities not audited within the last 12 months.

Action to prevent recurrence: The impact and significance of the DOE project-wide Stop Work and the task outlined in the corrective action commitment should be sufficient actions to prevent recurrence.

Completion of Actions: The evaluation will be completed by October 1, 1986, and the schedule will be completed by November 1, 1986.

- b. Failure to perform scheduled audits in organizations/activities involved

The response is as in "a" above.



## QUALITY AUDIT FINDING

9. QAF Control No.

8604-6

PAGE 1 OF 1

1. TO: Name  
L. R. Fitch

Title

2. Location  
Richland, Washington

3. Reference/Requirements

ANSI/ASME, NQA-1, 1983 and NRC Review Plan, Criterion 17.

4. Audit Or Surveillance Report No.

DOE/BWID 8504

## 5. Description

Control Subsystem 17.5, traceability from record to item(s) or activity(ies) to which it applies. Has one failure indicator as follows:

- a. Inability to assemble a complete peer review package. An evaluation of documents subjected to peer review indicated the packages to be incomplete as they did not include review comments and their resolution, selection process documentation or review scopes.

6. Lead Auditor (Signature)

7. Issue Date

4/2/86

8. Response Due Date

5/21/86

## 10. Auditee Corrective Action Commitment

Root Cause: See Cause and Response in Finding 8604-4, 5.2(b).

Action: See Action Response in Finding 8604-4, 5.2(b).

NOTE: Action Shall Address Root Cause and Include Measures to Prevent Recurrence

11. Responsible Action Manager (Signature)

12. Date

6/27/86

13. Action Completion Due Date

10/1/86

## ACTION VERIFIED

14. Lead Auditor (Signature)

W.B. Williams

FINDING 8604-4 WAS CLOSED BY LETTER  
OF 8/25/86 AND 8/25/86. THIS QAF 8604-6  
HAS THE SAME CORRECTIVE ACTION AND IS

15. Date

W.B. 5/12/87

17. Final Distribution

ORIGINAL-Audit/Surveillance Report File

1--Addressee

2--

3--

16. Final Review and Approval (QAF Closed)

MAKING ALSO  
CLOSED. W.B.

Mgr / Branch Chief, Cognizant Branch

Date



## QUALITY AUDIT FINDING

9. QAF Control No.  
8604-5 page 1 of 21. TO: Name  
L. R. Fitch

Title

2. Location  
Richland, Washington

3. Reference/Requirements

ANSI/ASME NQA-1, 1983 and NRC Review Plan, Criterion 17.

4. Audit Or Surveillance Report No.  
DOE/BWID 8604

## 5. Description

Control Subsystem 17.1, designation of documents or document types destined to become records. Two failure indicators as follows were evaluated.

- a. Failure of personnel to be aware of which documents become Quality Records.
- b. Failure to designate documents or document types as records.

During interviews with responsible managers and peer reviewers it was determined that they were not aware or implementing the requirements for records of the peer review process.

6. Lead Auditor (Signature)

7. Issue Date

8. Response Due Date

4/21/86

5/21/86

10. Auditee Corrective Action Commitment

See page 2, attached

NOTE: Action Shall Address Root Cause and Include Measures to Prevent Recurrence

11. Responsible Action Manager (Signature)

12. Date

13. Action Completion Due Date

6/23/86

8/1/86

## ACTION VERIFIED

14. Lead Auditor (Signature)

W.B. Williams

Reviewed Rockwell procedure 83-102 Peer Review  
in MA-17 manual Rev 0 issued 01/28/87. Satisfactory

15. Date

5/12/87

17. Final Distribution

ORIGINAL-Audit/Surveillance Report File

1--Addressee

2--

3--

16. Final Review and Approval (QAF Closed)

R.P. Paget

Mgr./Branch Chief, Cognizant Branch

5/28/87

Date

Block 10 continuation

a. Failure of personnel to be aware of which documents become quality records.

Root Cause: Project indoctrination of personnel has not included such information.

Action: Procedures for the revised project manual RHO-JV-14-17 are required to address records generated by use of the procedure. The revised peer review procedure includes this section.

b. Failure to designate documents or document types as records.

Root Cause: The existing peer review procedure is inadequate in this area.

Action: The revised peer review procedure will specify what documents comprise the peer review package as quality assurance records.