



U.S. Department of Energy
Office of River Protection

P.O. Box 450, MSIN H6-60
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04-ESQ-096

Mr. J. P. Henschel, Project Director
Bechtel National, Inc.
2435 Stevens Center
Richland, Washington 99352

Dear Mr. Henschel:

CONTRACT NO. DE-AC27-01RV14136 – ASSESSMENT REPORT A-04-ESQ-RPPWTP-014
– ASSESSMENT OF CORRECTIVE ACTION PROGRAM, SEPTEMBER 27 THROUGH
OCTOBER 4, 2004

This letter forwards the results of the U.S. Department of Energy (DOE), Office of River Protection, assessment of the Bechtel National, Inc. (BNI), Corrective Action Program for the Waste Treatment and Immobilization Plant during the period September 27 through October 4, 2004. The assessment team identified four Findings. Details of the assessment are documented in the attached assessment report.

The Team found the BNI Corrective Action Program had all the attributes of an adequate program, although implementation in some areas requires management attention to correct weaknesses. With some notable exceptions, generally, conditions adverse to quality were identified and documented. Significant conditions adverse to quality were identified and evaluated for root causes. Usually, corrective actions were identified and verified. When conditions adverse to quality were identified in the activities of contractors and suppliers, work was stopped or shipment of items was stopped until problems were formally resolved. Policies and procedures identified processes for stopping work due to quality and safety issues. Workers were informed of their right to stop work, and quality performance indicators were described in periodic trend charts. The assessment team identified four Findings requiring resolution. The issues associated with these Findings were:

- BNI did not identify and complete the corrective actions to implement recommendations of some root cause analysis teams;
- BNI did not report all required occurrences to DOE;
- BNI did not issue the required corrective action reports for several non-conforming conditions; and
- BNI did not provide the required training program for individuals screening corrective action reports for reportability under the Occurrence Reporting and Processing System.

Within 30 days of receipt of this letter, BNI should respond to the Findings of the assessment. The response should include:

- Admission or denial of the Findings;
- The causes of the Findings;
- The corrective steps that have been taken and the results achieved;
- The corrective steps that will be taken to prevent further Findings; and
- The date when full compliance with the applicable commitments in your quality assurance program will be achieved.

The assessment Observation does not identify a deficiency, but represents an experience-based observation of the team members that BNI should consider as a source of information for improving its program. BNI is not required to respond to the Observation.

If you have any questions, please contact me, or your staff may call Robert C. Barr, Director, Office of Environmental Safety and Quality, (509) 376-7851.

Sincerely,

Roy J. Schepens
Manager

ESQ:DHB

Attachment

cc w/attach:
C. M. Davis, BNI
G. T. Shell, BNI
H. N. Taylor, BNI
Administrative Record

U.S. DEPARTMENT OF ENERGY
Office of River Protection
Environmental Safety and Quality

ASSESSMENT: Corrective Action Management

REPORT: A-04-ESQ-RPPWTP-014

FACILITY: Bechtel National, Inc.

LOCATION: Richland, Washington

DATES: September 27 – October 4, 2004

ASSESSORS: David H. Brown, Lead Assessor
Patrick P. Carier, Assessor

APPROVED BY: P. P. Carier, Verification and Confirmation Official

Executive Summary

Introduction

From September 27 through October 4, 2004, the U.S. Department of Energy (DOE), Office of River Protection (ORP) conducted a routine assessment of the implementation of the Bechtel National, Inc. (BNI) Waste Treatment and Immobilization Plant (WTP) contractor, Corrective Action Program. The assessment team evaluated the contractor's processes for:

- Corrective action;
- Price-Anderson Amendments Act reporting and quality assurance interface;
- Supplier corrective action;
- Root cause analysis;
- Stop work; and
- Quality Trending.

Significant Conclusions and Issues

The assessment team found BNI corrective action management had all the attributes of an adequate program, although implementation in some areas requires management attention to correct weaknesses. With some notable exceptions, conditions adverse to quality were identified and documented. Significant conditions adverse to quality were identified and evaluated for root causes. Usually, corrective actions were identified and completion verified. When conditions adverse to quality were identified in the activities of contractors and suppliers, work was stopped or shipment of items was stopped until the problems were formally resolved. Policies and procedures identified processes for stopping work due to quality and safety issues. Workers were informed of their right to stop unsafe work. Quality performance indicators were described in periodic trend charts.

BNI had an active internal assessment program that identified and was resolving several Corrective Action Program weaknesses. For example, one assessment found completed corrective actions were not adequately verified for closure. Also, BNI was evaluating a declining trend in initiation of Corrective Action Reports (CAR) to determine if it represented a decreasing occurrence of conditions adverse to quality or just underreporting. The assessors interpreted this as evidence of an effective management assessment program.

In addition to the weaknesses identified by BNI, the assessment team identified four issues it determined were Findings. These were:

- **BNI did not identify and complete some root cause analysis corrective actions.** There was a lack of discipline in the Recommendations and Issues Tracking System (RITS) process for translating recommendations from root cause analyses into corrective actions. Also, completion of some corrective actions in RITS for industrial safety near-miss events was not timely;
- **BNI did not report to DOE all required occurrences.** The contractual requirement to report certain construction occurrences to ORP was not effectively implemented, and, as a result, some occurrences were never reported. Also, some occurrences involving regulatory noncompliances were not reported into the DOE Occurrence Reporting and Processing System (ORPS);
- **BNI did not issue the required CARs for several non-conforming conditions.** In some instances, the procedural requirement to document noncompliance notices from external regulators and industrial safety issues in CARs was not followed. The assessment team concluded this contributed to the lack of discipline in addressing root cause analysis recommendations for industrial safety events discussed in the first item above; and
- **BNI did not provide the required training program for individuals screening CARs for reportability under the ORPS.** While one BNI employee had received DOE training, other individuals had received only informal orientation. DOE requires contractors to have a training program for assuring occurrences are reported into ORPS.

In addition to the Findings, the assessment team identified one issue that was classified as an Observation. Observations are issues based on opinions of the assessment team rather than contractual noncompliances. ORP may request a response from the contractor on Observations. The Observation addressed the following issue:

- **BNI should have applied its procedure for management suspension of work to the June 29, 2004, Safety Awareness Day.** The suspension of forward progress on construction for the Safety Awareness Day fit the description of a “management suspension of work” described in BNI procedures. By not following the procedure, BNI sacrificed discipline in the processes intended to assure that workers’ issues were systematically resolved in a formal system. Instead, workers’ issues were documented and managed in e-mail messages.

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List of Acronyms

AB	Authorization Basis
ASL	Approved Suppliers List
BNI	Bechtel National, Inc.
CAR	Corrective Action Report
NCR	Nonconformance Report
NTS	DOE Noncompliance Tracking System
ORP	DOE Office of River Protection
ORPS	DOE Occurrence Reporting and Processing System
PAAA	Price-Anderson Amendments Act
QA	Quality Assurance
QAM	BNI Quality Assurance Manual
RCA	Root Cause Analysis
RITS	Recommendation and Issue Tracking System
SCAR	Supplier Corrective Action Report

Assessment of Waste Treatment and Immobilization Plant (WTP) Corrective Action September 29 – October 4, 2004

Assessment Purpose and Scope

This was a routine, scheduled assessment of the Bechtel National, Inc. (BNI) corrective action management program. The assessment team compared the contractor's processes for corrective action identification and management to the requirements of 24590-WTP-QAM-01-001, Revision 5, "Quality Assurance Manual (QAM)." This included the following:

- Corrective action;
- Price-Anderson Amendments Act (PAAA) reporting and quality assurance interface;
- Supplier corrective action;
- Root cause analysis (RCA);
- Stop work; and
- Quality Trending.

Significant Observations and Conclusions

BNI documented its requirements for corrective action in the QAM, which was approved by the U.S. Department of Energy (DOE), Office of River Protection (ORP). The requirements of the QAM were then implemented in various BNI procedures. There were specific procedures for:

- Identification, documentation, and closure of conditions adverse to quality using Corrective Action Reports (CAR);
- Managing conditions adverse to quality in the work of suppliers;
- Reporting of occurrences to DOE;
- Performing RCAs;
- Stop work and management suspension of work; and
- Quality trending.

For corrective action, the BNI program had all the attributes of an adequate program. The procedures responded appropriately to the QAM, and the procedures were generally followed. BNI had recently performed an assessment of corrective action, identifying a number of issues they were resolving. The assessment team viewed this as evidence of a functional management assessment program.

While the corrective action processes and related programs were generally adequate, implementation in some areas was inadequate. Problems and issues are discussed below.

Assessment Team Conclusions:

Corrective Action Process – The assessment team reviewed BNI procedures for corrective action management, reviewed a sample of CARs, reviewed BNI corrective action management issues, reviewed a sample of CARs, and interviewed individuals who had participated in the corrective action process. The assessors found BNI had established a program for identifying and resolving conditions adverse to quality that conformed to 24590-WTP-QAM-01-001, “Quality Assurance Manual.” The program provided appropriate processes, although a recent BNI management assessment identified some weaknesses in its execution. BNI was correcting these weaknesses.

Training on the corrective action process was accomplished through required reading of procedures. This was part of the initial indoctrination of new employees. The assessors did not see any problems with implementation of the corrective action process attributable to inadequate training.

BNI was not documenting all conditions in CARs required by the BNI corrective action procedure and the QAM. For example, they were not documenting some conditions that could adversely affect safety and health such as the events involving a dropped rebar splice curtain and a dropped embed. Also, they were not documenting some conditions identified by external agencies such as two State of Washington, Department of Ecology (Ecology) Notices of Non-Compliance. (This issue is identified in assessment Finding A-04-ESQ-RPPWTP-014-F03.)

BNI did not have the Occurrence Reporting and Processing System (ORPS) training program required by DOE M 231.1-2, “Occurrence Reporting and Processing of Operations Information,” for personnel who screen issues for reportability into the ORPS system. One individual received formal DOE training, and he had provided informal orientation to Quality Assurance (QA) organization personnel screening CARs for reportability. However, the informal orientation did not qualify as a training program within the meaning of DOE M 231.1-2. (This issue is identified in assessment Finding A-04-ESQ-RPPWTP-014-F04.)

The assessors evaluated BNI’s corrective action for ORP assessment Finding A-04-ESQ-RPP-WTP-002-F03. This Finding identified a weakness in the BNI corrective action management program. The assessors found the corrective actions were complete, and there was no evidence that the condition identified in the Finding had recurred. The assessment team closed the Finding.

PAAA Reporting and Quality Assurance Interface – The assessment team reviewed BNI procedures for evaluation and reporting of PAAA noncompliances, evaluated a sample of three noncompliance tracking system reports, and interviewed responsible individuals. BNI had an appropriate system for evaluating issues reportable into the NTS system. The causes of noncompliances were analyzed, and corrective actions were identified and tracked to completion. The assessment team identified no issues regarding how the causes of PAAA issues were identified and corrected.

Supplier Corrective Action – The assessment team reviewed BNI procedures for supplier corrective action, reviewed a sample of Supplier Corrective Action Reports (SCAR), and interviewed responsible managers. The assessment team found BNI had an effective process for identifying and resolving supplier quality issues. The process used SCARs for resolving supplier quality issues, applying a process similar to the CAR process used for resolving BNI quality issues. SCARs were primarily initiated as a result of BNI supplier audit and surveillance Findings. They provided a vehicle for stopping work on an item or stopping shipment when necessary. The assessment team identified no issues regarding how conditions adverse to quality in the work of suppliers were identified and corrected.

RCA – The assessment team reviewed BNI procedures for RCA, reviewed a sample of RCA reports, interviewed two RCA team leads, and reviewed the dispositions of a sample of recommendations from RCA reports. While BNI had an appropriate and effective system for identifying root causes for significant conditions adverse to quality, BNI did not always effectively formulate, track, and verify corrective actions necessary to correct the causes.

BNI tracked corrective actions through the Recommendation and Issues Tracking System (RITS), which lacked the discipline applied to corrective actions tracked in the CAR system. As a result, recommendations from some RCAs were never translated into corrective actions and were not resolved. For example, corrective actions to implement RCA recommendations for the Pretreatment Facility dropped rebar splice curtain and dropped embed occurrences were not documented. When action was not taken promptly on a RITS commitment, extensions were relatively easy to obtain in comparison to commitments made in response to CARs. (This issue is identified in assessment Finding A-04-ESQ-RPPWTP-014-F01.)

Stop Work – The assessment team reviewed BNI procedures for stop work and interviewed several managers responsible for the stop work process. BNI had a procedure for the QA organization to formally stop work and for line management to suspend work. Work could be stopped or suspended due to issues such as quality problems and safety concerns. However, BNI had never stopped or suspended work using its procedure.

BNI communicated to workers that they also had the authority to stop work in the event of an imminent hazard, but the process was not documented. At the time of the assessment, the Safety Assurance organization was preparing an informal guideline to provide more information on how workers may stop work in the event of an imminent hazard.

On June 29, 2004, BNI halted forward progress on construction activities in order to conduct an event they called a “safety awareness day.” This followed a series of industrial accidents and near-miss occurrences that attracted attention from both BNI and DOE management. During the safety awareness day event, BNI managers addressed workers on safety topics and polled workers for issues during breakout sessions. During the breakout sessions, workers identified a number of issues that BNI management organized into 10 categories. While it appeared to the assessors workers’ issues from the breakout sessions were being addressed, the workers’ issues were not entered into any tracking system to assure appropriate and timely resolution. Instead, the issues were being managed by e-mail.

In the view of the assessment team, the suspension of forward progress on construction for the safety awareness day fit precisely the management suspension of work described in the BNI procedure 24590-WTP-GPP-MGT-008, “QA Stop Work / Management Suspension of Work.” By following the procedure, BNI would have brought more discipline to the process, so that, for example, workers’ issues from the breakout session would have been formally tracked to closure. (This issue is identified in Assessment Observation A-04-ESQ-RPPWTP-014-O01.)

Quality Trending – The assessment team reviewed BNI’s procedure for performing quality trending, reviewed several quarterly trending reports issued by the QA organization, reviewed management assessment that pertained to quality trending and interviewed managers responsible for quality trending. BNI had established a quality trending program that met the requirements of the QAM. Criteria for determining what constituted an adverse quality trend had been established and were followed in the quality trend reports reviewed by the assessors. BNI had appropriately performed a management assessment of the quality trending process. Quality trending reports were issued in a timely fashion and distributed to appropriate management for information or required action. No issues or Findings were identified during this review. The assessors concluded that the quality trending program was effective.

Items Opened, Closed, and Discussed

Opened Findings

A-04-ESQ-RPPWTP-014-F01 – BNI did not identify and complete some RCA corrective actions.

Requirements:

24590-WTP-QAM-01-001, Revision 5, “Quality Assurance Manual,” Policy Q-16.1, “Corrective Action,” Section 3.3.3 stated, “Responsible management shall ... determine and document the root cause using formal root cause techniques [and] identify and implement corrective actions that will preclude recurrence as soon as practical.”

Discussion:

For two formal RCAs, timely completion of corrective actions to preclude recurrence were not documented and in some cases were not identified. These were both for near-miss occurrences where repetition of the events could have resulted in serious personnel injuries. The RCAs were 24590-WTP-RCA-CON-04-0002, “Root Cause Analysis for Pretreatment Embed Incident,” (Embed Drop RCA) and 24590-WTP-RCA-CON-04-0001, “Root Cause Analysis for Pretreatment Splice Curtain Incident” (Rebar Splice Curtain Drop RCA).

- The RCA recommendations for the Embed Drop RCA were entered into RITS record 24590-WTP-RITS-QAIS-04-632, but none of these were actionable corrective actions. For example, the first recommendation was, “When a significant change in scope occurs, the Responsible Superintendent should discuss the change with his crews, Safety Representative and Field Engineer to determine if new hazards exist...” There was no explicit corrective action, such as training or a procedure change, to create the condition idealized in the recommendation. These should have been entered into the “Actions” field on the RITS electronic record, but they were not. The designated responsible manager said that formulation of corrective actions had not been documented;
- Corrective actions to prevent recurrence of the embed drop incident were not timely. While the event occurred on June 22, 2004, the corrective actions had still not been formally identified and completed at the time of this assessment (October 2004). Repetition of the event could have resulted in serious personnel injury. The RCA was completed on August 25, 2004, and the original commitment date for closure of the RITS record was September 30, 2004. Management had extended the closure date to October 28, 2004, and the designated responsible manager said BNI did not have documentation of any completed corrective actions;
- BNI closed DOE ORPS report RP--BNRP-RPPWTP-2004-0010 for the embed drop occurrence even though corrective action had not been identified. For Significance Category 3 occurrence reports, BNI is permitted to close ORPS occurrence reports when

corrective actions have been entered into the BNI tracking system. However, only RCA team recommendations were entered into RITS, not the actual corrective actions needed to implement the recommendations; and

- Corrective actions to prevent recurrence from the Rebar Splice Curtain Drop RCA were not timely. While the event occurred on June 17, 2004, the corrective action was still incomplete at the time of this assessment. Repetition of the event could have resulted in serious personnel injury. The RCA was completed on August 25, 2004, and the original commitment date for closure of the RITS record was August 26, 2004. Management had extended the closure date to October 28, 2004, and the designated responsible manager said BNI did not have documentation of corrective actions.

A-04-ESQ-RPPWTP-014-F02 – BNI did not report to DOE all required occurrences.

Requirements:

- a. 24590-WTP-PL-CN-01-002, Revision 1, “Construction Occurrence Reporting Plan,” Section 1.3.6 states, “If the event meets at least one of the criteria listed in Appendix A, [the occurrence] will be reported to ... the [DOE Occurrence Notification Center].” Appendix A, Group 4 – “Facility Status,” Subgroup A – “Safety Structure/System/ Component Degradation,” identifies as reportable “A substantial nonconformance with the AB. This is a nonconformance if uncorrected, could have a serious effect on safety; operability of systems, structures, or components; product quality; or is determined to be reportable under PAAA;” and
- b. DOE M 231.1-2, Occurrence “Reporting and Processing of Operations Information,” Section 6, “Reporting Criteria,” Group 9, Item 2 states, “Any written notification from an outside regulatory agency that a site/facility is considered to be in noncompliance with a schedule or requirement (e.g., Notice of Violation...) ...”

Discussion:

BNI did not report all occurrences as specified in the “Construction Occurrence Reporting Plan” and DOE M 231.1-2. The “Construction Occurrence Reporting Plan” is a contract deliverable accepted by DOE. The following are examples of occurrences that were required to be reported to the DOE Occurrence Notification Center (ONC) but were not:

- BNI did not report significant quality problems with a major component of the High-Level Waste facility into the ONC. The component was the Submerged Bed Scrubber, Vessel 903, fabricated by Joseph Oat Corporation. Nonconformances in the fabrication of the vessel were documented in BNI CAR 24590-WTP-CAR-QA-04-007, RCA report 24590-WTP-RPT-QA-04-0001, “Root Cause Analysis of Non-Compliant NDE Requirements for Black Cell Vessels,” 18 nonconformance reports, and PAAA Noncompliance Report NTS-RP-BNRP-RRPWTP-2004-0001;

- BNI did not submit the required ORPS occurrence report when, on July 2, 2004, Ecology issued to ORP and BNI a Notice of Non-Compliance. The Notice of Non-Compliance alleged that failure to include corrosion allowance in design of piping for longitudinal stress potentially compromised the structural integrity of WTP tank systems and violated design requirements committed to in the dangerous waste permit. When the assessment team brought this to the attention of BNI, BNI issued ORPS notification report RP--BNRP-RPPWTP-2004-0018;
- BNI did not submit the required ORPS occurrence report when, on July 1, 2004, Ecology issued a Notice of Non-Compliance for failure to submit appropriate permit modification requests to Ecology regarding modifications to approved design, plans, and specifications. When the assessment team brought this to the attention of BNI, BNI issued ORPS notification report RP--BNRP-RPPWTP-2004-0019.

A-04-ESQ-RPPWTP-014-F03 – BNI did not issue the required corrective action reports for several non-conforming conditions.

Requirements:

- a. 24590-WTP-QAM-01-001, Revision 5, QAM, Policy Q-16.1, “Corrective Action,” Section 1.2 states, “This policy applies to all organizations responsible for achieving, maintaining, and verifying the quality of ... services and activities ... and to those corresponding conditions that may be adverse to safety, health... and the environment;”
- b. 24590-WTP-QAM-01-001, Revision 5, QAM, Policy Q-16.1, “Corrective Action,” Section 3.1.1.B states, “Conditions adverse to quality shall be identified promptly...;”
- c. BNI procedure 24590-WTP-GPP-QA-201, Revision 8, “Corrective Action,” Section 2, “Scope,” states, “This procedure applies to all project organizations responsible for achieving, maintaining, and verifying the quality of ... services and activities ... that may be adverse to safety [and] health...;” and
- d. BNI procedure 24590-WTP-GPP-QA-201, Revision 8, “Corrective Action,” Section 3.3.2 states, “On identification of a potential condition adverse to quality, initiate a CAR...”

Discussion:

Contrary to the above requirements, BNI did not issue CARs for several safety and environmental issues. Some examples identified by the assessment team were:

- BNI did not document in a CAR the drop of the Pretreatment Facility rebar splice curtain that occurred on June 17, 2004. This event was described in ORPS occurrence report

RP--BNRP-RPPWTP-2004-0009 and was analyzed in BNI root cause analysis 24590-WTP-RCA-CON-04-0001, Revision 0. As discussed in other findings of this assessment, corrective actions for this event lacked the discipline associated with resolution of issues properly documented in CARs;

- BNI did not document in a CAR the drop of the Pretreatment Facility embed that occurred on June 22, 2004. This event was described in ORPS occurrence report RP--BNRP-RPPWTP-2004-0010 and was analyzed in BNI RCA 24590-WTP-RCA-CON-04-0002, Revision 0. Corrective actions for this event also lacked the discipline associated with resolution of issues properly documented in CARs;
- BNI did not document in the required CAR Ecology Notice of Non-Compliance alleging a failure to include corrosion allowance in design of piping for longitudinal stress. This Notice of Non-Compliance was reported in ORPS notification report RP--BNRP-RPPWTP-2004-0018; and
- BNI did not document in the required CAR Ecology Notice of Non-Compliance alleging failure to submit appropriate permit modification requests to Ecology regarding modifications to approved design, plans, and specifications. This Notice of Non-Compliance was reported in ORPS notification report RP--BNRP-RPPWTP-2004-0019.

A-04-ESQ-RPPWTP-014-F04 – BNI did not provide the required training program for individuals screening CARs for reportability under the ORPS.

Requirements:

DOE M 231.1-2, “Occurrence Reporting and Processing of Operations Information,” dated August 19, 2003, Section 5.9, “Training,” states, “Specific training programs for the requirements of this Manual must be established for ... contractor personnel for facilities under their cognizance. These training programs must include ... Identification of reportable occurrences...”

Discussion:

The BNI corrective action process required QA organization managers to screen CARs for reportability under the ORPS system, but BNI had not provided them with the training required by DOE M 231.1-2. In fact, BNI had not developed the training program required by the manual.

BNI had obtained ORPS system training for one individual, but the CAR process provided him only with issues that have already been screened by QA organization managers. While the trained individual did provide an informal orientation to QA organization managers, the

orientation did not conform to the requirements of DOE M 231.1-2 for a formal training program.

Opened Observations

A-04-ESQ-RPPWTP-014-O01 – BNI should have applied its procedure for management suspension of work to the June 29, 2004, Safety Awareness Day.

BNI procedure 24590-WTP-GPP-MGT-008, Revision 0, “QA Stop Work / Management Suspension of Work,” provided a process for suspending work to address issues such as industrial safety problems. Following a series of near-miss industrial accidents, BNI management halted forward progress on construction activities on June 29, 2004, to address safety issues with the work force. This included break-out sessions in which workers were polled for issues that management should be resolving. At the time of this assessment, corrective actions to resolve issues from the break-out sessions were being managed by e-mail, and were not documented in any issues management system, such as RITS. The assessment team considers this approach to managing the issues lacked discipline and created the possibility that some workers’ issues would not be properly resolved. When the assessment team brought this to the attention of BNI management, they said that they did not agree the procedure applied to the Safety Awareness Day, and they had considerable latitude in managing the workers’ issues they had collected.

Section 2.0, “Scope,” of the procedure states that it applies “whenever continuing work could result in ... any condition warranted by management that requires suspension of work.” In the view of the assessment team, this situation prevailed on June 29, 2004. The assessment team further considers that failing to invoke the procedure led to the informal approach to managing potentially valuable workers’ issues from the break-out sessions.

Closed

A-04-ESQ-RPP-WTP-002-F03 – The BNI corrective action management system was ineffective in assuring that corrective actions for significant conditions adverse to quality were corrected.

Discussed

None

Signatures

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Assessment Team Leader

Patrick P. Carrier,
Assistant Assessment Team Leader