



## Department of Energy

Washington, DC 20585

FEB 07 2002

QA: QA

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U.S. DEPARTMENT OF ENERGY (DOE) OFFICE OF CIVILIAN RADIOACTIVE WASTE  
MANAGEMENT (OCRWM) OFFICE OF QUALITY ASSURANCE (OQA) AUDIT  
LBNL-ARC-02-06 OF LAWRENCE BERKELEY NATIONAL LABORATORY (LBNL),  
BERKELEY, CALIFORNIA

Please be advised that a team of auditors representing the OQA will conduct an audit of LBNL's implementation of the OCRWM Quality Assurance Program, as described in the DOE/RW-0333P, Revision 10, *Quality Assurance Requirements and Description* document and implementing procedures, in Berkeley, California, March 18-22, 2002. The audit will be conducted in accordance with the enclosed audit plan.

Observers from the state of Nevada, U.S. Nuclear Regulatory Commission, and other interested parties may accompany the audit team.

You are hereby requested to arrange for appropriate space to conduct meetings, provide cognizant personnel to support the audit, and provide audit team access to appropriate LBNL documentation and records.

If you have any questions, please contact either James Blaylock at (702) 794-1420 or Marilyn A. Kavchak at (702) 794-5423.

*James Blaylock*  
Ram Murthy, Acting Director  
Office of Quality Assurance

OQA:JB-0630

Enclosure:  
Audit Plan LBNL-ARC-02-06



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cc w/encl:

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**U.S. DEPARTMENT OF ENERGY  
OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT  
OFFICE OF QUALITY ASSURANCE**

**QUALITY ASSURANCE AUDIT PLAN**

**FOR**

**AUDIT LBNL-ARC-02-06**

**OF**

**LAWRENCE BERKELEY NATIONAL LABORATORY  
BERKELEY, CALIFORNIA**

**MARCH 18-22, 2002**

Prepared by: M. Kavchak Date: 2/6/02  
Marilyn A. Kavchak  
Audit Team Leader  
Navarro Quality Services

Approved by: James Blaylock for Date: 2/7/02  
Ram Murthy  
Acting Director  
Office of Quality Assurance

ENCLOSURE

## 1.0 SCOPE

A team of auditors from the U.S. Department of Energy (DOE), Office of Quality Assurance (OQA) will conduct a full scope compliance-based audit to evaluate Lawrence Berkeley National Laboratory's (LBNL) implementation of the Office of Civilian Radioactive Waste Management (OCRWM) Quality Assurance (QA) Program as defined in the DOE/RW-0333P, Revision 10, *Quality Assurance Requirements and Description* (QARD) document and applicable implementing procedures. The audit team will evaluate the implementation, compliance, adequacy, and effectiveness of the QA program and procedures in place for activities supporting the Yucca Mountain Site Characterization Project Office.

The programmatic sections to be audited are identified in Section 4.0 of this audit plan.

## 2.0 AUDIT SCHEDULE

Pre-Audit Team/Observer Meeting	1:30 p.m., March 18, 2002 Berkeley, CA
Pre-Audit Conference	2:00 p.m., March 18, 2002 Berkeley, CA
Audit Activities	2:30 p.m. to 4:00 p.m. March 18, 2002 Berkeley, CA
	8:00 a.m. to 4:00 p.m. March 19 - 21, 2002 Berkeley, CA
	8:00 a.m. to 10:30 a.m. March 22, 2002 Berkeley, CA
Post-Audit Conference	11:00 a.m. March 22, 2002 Berkeley, CA

There will be a daily OQA Audit Team/Observer meeting at 4:00 p.m. to review audit progress. Beginning on Tuesday, March 19, 2002, there will also be a daily Audit Team Leader/Observer/LBNL management meeting at 8:15 a.m. to communicate audit progress, discuss potential deficiencies, and establish needed liaisons. All meetings will be held at locations arranged and provided by LBNL.

### 3.0 REQUIREMENTS TO BE AUDITED AND APPLICABLE REFERENCES

The requirements to be audited will be contained in the checklists. This checklist will be developed from the latest available revision of the following documents:

- QARD;
- OCRWM QA Program Procedures;
- LBNL Quality Program Procedures;
- Bechtel SAIC Company, LLC Quality Program Procedures.

The conduct of the audit will be guided by the documents (latest revision) listed below:

- Quality Assurance Procedure QAP 18.2, *Internal Audit Program*
- Administrative Procedure AP-16.1Q, *Management of Conditions Adverse to Quality*

### 4.0 ACTIVITIES TO BE AUDITED

The audit team will evaluate the effectiveness of applicable QA program sections as they apply to the activities associated with LBNL - Berkeley, CA as follows:

Section 1.0	Organization
Section 2.0	Quality Assurance Program
Section 5.0	Implementing Documents
Section 6.0	Document Control
Section 7.0	Control of Purchased Items and Services
Section 12.0	Control of Measuring and Test Equipment
Section 15.0	Nonconformances
Section 16.0	Corrective Action
Section 17.0	Quality Assurance Records
Supplement I	Software
Supplement II	Sample Control
Supplement III	Scientific Investigation
Supplement V	Control of the Electronic Management of Data
Appendix C	Monitored Geologic Repository

The following QA program sections were considered during the development of this audit plan and were found to not be applicable, since LBNL - Berkeley, CA currently has no activities to which these sections apply:

Section 3.0	Design Control
Section 4.0	Procurement Document Control
Section 8.0	Identification and control of Items
Section 9.0	control of Special Processes
Section 10.0	Inspection

Section 11.0	Test Control
Section 13.0	Handling, Storage and Shipping
Section 14.0	Inspection, Test and Operating Status
Section 18.0	Audits
Supplement IV	Field Surveying
Appendix A	High Level Waste Form Production
Appendix B	Storage and Transportation

If the team identifies a need to verify additional programmatic areas during the audit, these areas will be added to the audit scope and evaluated accordingly.

## **5.0 AUDIT TEAM MEMBERS**

Marilyn A. Kavchak, Navarro Quality Services (NQS), Las Vegas, NV, Audit Team Leader  
Patrick V. Auer, NQS, Las Vegas, NV, Auditor  
James E. Flaherty, NQS, Las Vegas, NV, Auditor  
Donald J. Harris, NQS, Las Vegas, NV, Auditor  
Christian M. Palay, NQS, Las Vegas, NV, Auditor

## **6.0 AUDIT CHECKLISTS**

LBNL-ARC-02-06, Compliance Checklist.