



Department of Energy

Washington, DC 20585

QA: QA

NOV 18 2002

MEMORANDUM FOR: Dennis R. Williams (RW-40W)

FROM: R. Dennis Brown, Director *James Blaylock*
Office of Quality Assurance

SUBJECT: Surveillance Report OQA-SE-03-001 of the University and
Community College System of Nevada (UCCSN)

Enclosed is Surveillance Report OQA-SE-03-001 of UCCSN conducted by representatives of Office of Quality Assurance on September 10 through October 24, 2002, at the University of Nevada, Las Vegas, and the University of Nevada, Reno.

The primary purpose of the surveillance was to evaluate UCCSN's internal audit program. The surveillance team did not identify any conditions adverse to quality or recommendations for improvement.

As a result of the surveillance, OQA determined that the UCCSN internal audits are effective; however, the OQA will conduct its audit of UCCSN no later than May 2003.

The surveillance is considered completed and closed. If you have any questions, please contact either James Blaylock at (702) 794-1420 or Patrick V. Auer at (702) 794-1353.

OQA:JB-0255

Enclosure:
Surveillance Report OQA-SE-03-001

cc w/encl:

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UCCSN
wm-11

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT QUALITY ASSURANCE SURVEILLANCE REPORT

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QA Surveillance Number
OQA-SE-03-001

Complete only applicable items

1. Organization/Location University & Community College System of Nevada (UCCSN), Reno, Nevada	2 Subject UCCSN Internal Audits	3. Date(s) Performed September 10, through October 24, 2002
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4. Surveillance Scope

The scope of the surveillance will consist of an evaluation of UCCSN's performance of internal audits. This will be accomplished by the surveillance team through direct observation of UCCSN's audit process at the University of Nevada, Reno (UNR).

5 Requirement(s) (Procedure, Specification, Drawings, etc.) UCCSN Quality Assurance Procedure (QAP)-18.0, Revision 2, <i>Quality Assurance Auditor Qualification and Conduct of Audits.</i>	6. Originator _____ Patrick V. Auer Team Member: _____ _____ _____
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SURVEILLANCE RESULTS

7. Description/Details

The surveillance team observed the UCCSN internal audit of the following tasks:

- Task 3, Quality Assurance Program Development and Implementation
- Task 12, Southern Great Basin Seismic Network Operations
- Task 18, Long-Term Drift Stability

(Continued on page 2)

8. Persons (and their organizations) Contacted Amy Smiecinski, UCCSN/QA Manager & Auditor, Task 3 Morrie Roosa, UCCSN/Auditor Raymond Keeler, UCCSN/Auditor Dr. Dhanesh Chandra, UNR/Investigator, Tasks 14, 17, and 18 Dr. David VonSeggern, UNR/Principal Investigator, Task 12 Vinay Deodeshmukh, UNR/Investigator, Task 18	9. CAQ/NCR/TE Issued CAQ/NCR/TE Number(s) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <u> N/A </u> Recommendation Issued CIRS Number(s) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <u> N/A </u>
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10 Surveillance Conclusions SAT UNSAT

(Continued on page 2)

11. Completed By (Originator) (Print Name) Patrick V. Auer	Signature 	Date 11/7/2002
12 Reviewed By (Appropriate QA Manager) (Print Name) DENNIS BROWN	Signature 	Date 11/18/02
13 Approved By (QVM) (Print Name) JAMES BEALOCK	Signature 	Date 11/18/02

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT
QUALITY ASSURANCE SURVEILLANCE REPORT

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QA Surveillance Number
OCA-SE-03-001

Complete only applicable items

1. Organization/Location University & Community College System of Nevada (UCCSN), Reno, Nevada	2. Subject UCCSN Internal Audits	3. Date(s) Performed 9/10/-10/24/02
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7. Description/Details: (Continued)

The following documents were examined during the surveillance:

- UCCSN QAP-3.1, Revision 2, *Control of Electronic Data*
- UCCSN QAP-17.0, Revision 3, *Quality Assurance Records*
- UCCSN QAP-17.1, Revision 3, *Submittal of Records to OCRWM Records Processing Center*
- UCCSN QAP-18.0, Revision 0, *Quality Assurance Auditor Qualification and Conduct of Audits*
- Audit Report Number AUD-02-02
- UCCSN QA audit Schedule Calendar Year 2001-2002
- Audit Plan for UCCSN Audit Number AUD-02-02
- QA Audit Checklist for Audit Number AUD-02-02

The above documents were examined while observing the UCCSN internal audit AUD-02-02 of Tasks 3, 12, and 18 at UNR during the month of October 2002.

The UCCSN internal audit program has completed two audits in the past twelve months. These audits each covered approximately one-half of the funded tasks resulting in a complete audit of UCCSN's QA program for all funded tasks. Discussions were held with UCCSN QA personnel concerning conduct of audits including completion of checklists; documentation of objective evidence; interview techniques; planning; schedule; report format and content; and documentation of "corrected during the audit" deficiencies. Results of the discussions with the auditors, observation of interviews, and review of objective evidence examined revealed that the UCCSN audit program provided adequate oversight of the UNR investigators.

10. SURVEILLANCE CONCLUSIONS: (Continued)

Based on the surveillance results, the audit was effective in identifying deficient conditions and areas for improvement. Even though UCCSN internal audits are effective, the current DOE/UCCSN cooperative agreement is due to expire on June 30, 2003. The OQA will conduct its annual audit of UCCSN no later than May 2003, which will serve as a close-out audit for the cooperative agreement.

The surveillance team did not identify any conditions adverse to quality or recommendations for improvement.