# 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

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# OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT
# QUALITY ASSURANCE SURVEILLANCE REPORT

QA: QA


QA Surveillance Number
OQA-SE-03-001

*Complete only applicable items*

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

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, *Quality Assurance Auditor Qualification and Conduct of Audits.*

6. Originator
Patrick V. Auer

Team Member:

## 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)
☐ Yes ☒ No N/A

Recommendation Issued CIRS Number(s)
☐ Yes ☒ No N/A

10 Surveillance Conclusions ☒ SAT ☐ UNSAT

(Continued on page 2)

| 11. Completed By (Originator) (Print Name) | Signature | Date |
|---|---|---|
| Patrick V. Auer | Patrick V. Auer | 11/7/02 |
| 12 Reviewed By (Appropriate QA Manager) (Print Name) | Signature | Date |
| Dennis Brown | James B Blaylock | 11/18/02 |
| 13 Approved By (QVM) (Print Name) | Signature | Date |
| James Blaylock | James B Blaylock | 11/18/02 |

# OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT
# QUALITY ASSURANCE SURVEILLANCE REPORT

*Complete only applicable items*

QA Surveillance Number
OQA-SE-03-001

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

**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.