

United States Government

Department of Energy

# memorandum

DATE: JUL 29 1991

REPLY TO: RW-3  
ATTN OF:

SUBJECT: OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT (OCRWM) QUALITY ASSURANCE  
(QA) AUDIT HQ-91-003 OF THE VITRIFICATION PROJECTS BRANCH (EM-343)

TO: Associate Director, (EM-30)

Please be advised that a team from OCRWM, Office of Quality Assurance (OQA), will conduct a QA audit of the EM-343 QA Program and implementation, where possible, during the period August 26-30, 1991. Current plans will be for the audit team to hold a preaudit meeting on Monday, August 26, 1991, beginning at 9:00 a.m., at your facilities in Germantown, MD. Please arrange for the appropriate personnel to attend the meeting. The postaudit meeting is tentatively scheduled for 1:30 p.m. on Friday, August 30, 1991. I would like to request that you make the necessary arrangements for the locations where the preaudit and postaudit meetings will be held and notify me within 10 days prior to the date of the preaudit conference. The audit team will also need a meeting/working room during the performance of the audit.

All activities performed by EM appropriate to its role in the development and qualification of the waste form through August 1991 shall be subject to audit.

The audit will focus on the following areas:

## QA PROGRAM ELEMENTS

- 1 - Organization
- 2 - Quality Assurance Program
- 3 - Design Control (including software and scientific investigation)
- 4 - Procurement Document Control
- 5 - Instructions, Procedures, and Drawings
- 6 - Document Control
- 7 - Control of Purchased Items and Services
- 15 - Control of Nonconforming Items
- 16 - Corrective Action
- 17 - Quality Assurance Records
- 18 - Audits

The audit of implementation will be primarily based upon the current revisions of your implementing procedures and/or procedures that were in effect when the activity was performed.

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ADD: W. Burke *Chr. Encl.*  
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### TECHNICAL AREAS

Auditors will review and evaluate activities to determine adequacy in the following areas:

1. Qualifications of technical personnel
2. Understanding of procedural requirements as they pertain to the development and qualification of waste forms.

If the audit team identifies a need to verify additional programmatic or technical areas during the audit, they will be added to the audit checklist(s) and verified accordingly.

The audit team will consist of:

<u>NAME</u>	<u>ORGANIZATION</u>	<u>TEAM</u>
Robert W. Clark	DOE, Washington, D.C.	Audit Manager
Norman C. Frank	CER Corp., Arlington, VA	Audit Team Leader
James J. George	CER Corp., Arlington, VA	Auditor
Donald E. Miller	CER Corp., Arlington, VA	Auditor
Craig G. Walenga	CER Corp., Arlington, VA	Auditor
Clyde D. Morell	CER Corp., Arlington, VA	Auditor
Thomas E. Rodgers	CER Corp., Arlington, VA	Auditor
Louis Wade	CER Corp., Arlington, VA	Auditor

Observers from the State of Nevada, U.S. Nuclear Regulatory Commission, or other interested parties may also accompany the team. You will be notified of these observers prior to the audit.

If you have any questions, please contact Robert Clark at (202) 586-1238 or FTS 896-1238 or Norman C. Frank at (703) 276-9300.



Donald G. Horton, Director  
Office of Quality Assurance

Enclosure:  
Audit Plan, HQ-91-002

cc:

F. Peters, RW-2, FORS  
D. Shelor, RW-30, FORS  
R> Millner, RW-40, FORS  
C. Gertz, RW-20, Las Vegas, NV  
S. Cowan, EM-30, TREV.  
M. Frei, EM-34  
J. Hennessey, EM-343  
K. Chancey, EM-343  
J. Gilray, NRC, Las Vegas, NV  
K. Hooks, NRC, Washington, DC  
W. Belke, NRC, Washington, DC  
R. Loux, NWPO, Carson City, NV  
E. von Tiesenhausen, Clark County, Las Vegas, NV  
S. Bradhurst, Nye County, Tonopah, NV  
K. Whipple, Lincoln County, Pioche, NV

Audit Plan  
Audit Number: HQ-91-003  
Audit of Office of Environmental  
Restoration and Waste Management (EM)

An audit of EM-343, Vitrification Projects Branch, will be conducted the week of August 26-30, 1991 in their offices in Germantown, MD. The audit will be conducted by:

Norman C. Frank,	CER Corporation	Audit Team Leader
Donald E. Miller,	CER Corporation	Auditor
James G. George,	CER Corporation	Auditor
Craig G. Walenga,	CER Corporation	Auditor
Clyde D. Morell,	CER Corporation	Auditor
Thomas E. Rodgers,	CER Corporation	Auditor
Louis Wade,	Roy F. Weston	Auditor

Observers from the State of Nevada, the NRC, the Edison Electric Institute (EEI), and other interested parties will be invited to participate.

Audit Scope

The audit will include the activities of EM-343, Vitrification Projects Branch, related to the development and qualification of waste forms. Activities up to the time of the audit will be included in the scope.

The implementation of the following criteria will be evaluated during the audit:

- 1 - Organization
- 2 - Quality Assurance Program
- 3 - Design Control (including software and scientific investigation
- 4 - Procurement Document Control
- 5 - Instructions, Procedures, and Drawings
- 6 - Document Control
- 7 - Control of Purchased Items and Services
- 15 - Control of Nonconforming Items
- 16 - Corrective Action
- 17 - Quality Assurance Records
- 18 - Audits

The auditable requirements will be drawn from the October 1990 issue of the Environmental Restoration and Waste Management (EM) Quality Assurance Program Descriptions (DOE/EM/WO/01 and 02), applicable Standard Practice Procedures, and documents pertaining to the development and qualification of waste forms.

Preliminary Audit Schedule

Audit Team Briefing	August 26	8:30 am
Preaudit Meeting	August 26	9:00 am
Conduct of Audit	August 26	9:30 am - 4:00 pm
	August 27-29	8:30 am - 4:00 pm
	August 30	8:30 am - 12:00 pm
Postaudit Meeting	August 30	1:30 pm - 2:30 pm
Daily Audit Team Debriefing		4:00 pm
Daily Summary to EM-343		8:30 pm

Enclosure

The audit may be extended as necessary to ensure adequate coverage of each criteria to be audited.

**Audit Checklists and Annexes:**

91-003	QA Programmatic Checklist
Annex A	DOE Procedure on Protocol (July 1987)
Annex B	NRC Draft QA Procedure for Observing DOE/OGR HLRW

Prepared by:

  
Norman C. Frank, CER Corporation  
Audit Team Leader

Date:

7/22/91


Approved by:

  
Robert W. Clark, Director  
Headquarters Quality Assurance Division

Date:

7/29/91

Approved by:

  
Donald G. Horton, Director  
Office of Quality Assurance

Date:

7/29/91