

memorandum

DATE: SEP 18 1991

REPLY TO: RW-3
ATTN OF:

SUBJECT: OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT (OCRWM) QUALITY ASSURANCE (QA) AUDIT HQ-92-001 OF OCRWM HEADQUARTERS ACTIVITIES INCLUDING YUCCA MOUNTAIN PROJECT OFFICE QUALITY ASSURANCE DIVISION (YMQAD) ACTIVITIES

TO: Director, Office of Civilian Radioactive Waste Management, RW-1

Please be advised that a team from OCRWM, Office of Quality Assurance (OQA), will conduct a QA audit of the OCRWM QA Program and implementation during the period October 15-18, 1991. Current plans are for the audit team to hold a preaudit meeting on Tuesday, October 15, 1991, beginning at 9:00 a.m., Room 6E-069, at the Forrestal Building. Please arrange for the appropriate personnel to attend the meeting. The postaudit meeting is tentatively scheduled for 2:30 p.m. on Friday, October 18, 1991.

A portion of this Audit team will be concurrently performed at the Yucca Mountain Project Office to assess implementation and effectiveness of the Yucca Mountain Quality Assurance Division's oversight activities (i.e. Criterion 2, 16 & 18).

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
- 16 - Corrective Action
- 17 - Quality Assurance Records
- 18 - Audits

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

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, review and approval of technical documents.

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ADD: Ken Hooks Ltr. Encl. 1 1

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TECHNICAL AREAS (continued)

3. Program Change Control Board activities, as implemented for quality affecting documents.

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>
Thomas E. Rodgers	CER Corp., Arlington, VA	Audit Team Leader
Fred Bearham	CER Corp., Arlington, VA	Auditor
R. Dennis Brown	CER Corp., Arlington, VA	Auditor
Norman C. Frank	CER Corp., Arlington, VA	Auditor
F. Hugh Lentz	CER Corp., Arlington, VA	Auditor
Marc J. Meyer	CER Corp., Arlington, VA	Auditor
Craig G. Walenga	CER Corp., Arlington, VA	Auditor
Wayne Booth	Weston, Washington, DC	Auditor
Louis Wade	Weston, Washington, DC	Auditor
Robert Constable	DOE, YMPO	Auditor
Frank Kratzinger	SAIC, Las Vegas	Auditor
TBD		Technical Specialist

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

If you have any questions, please contact Bob Clark at 586-1238 or Thomas Rodgers at (703) 276-9300.

R.W. Clark

for Donald G. Horton, Acting Director
Office of Quality Assurance

Enclosure
Audit Plan HQ-92-001

cc:

C. Hampton, YMPO
D. Spence, YMPO
C. Gertz, YMPO
R. Loux, State of Nevada
S. W. Zimmerman, NWPO, Carson City, NV
K. Whipple, Lincoln County, NV
M. Baughman, Lincoln County, NV
J. Bingham, Clark County, NV
D. Bechtel, Clark County, NV
Englebrecht von Tiesenhasuen, Clark County, Las Vegas, NV
S. Bradhurst, Nye County, NV
B. Raper, Nye County, NV
P. Niedzielski-Eichner, Nye County, NV
R. Campbell, Inyo County, CA
R. Michener, Inyo County, CA
G. Derby, Lander County, NV
P. Goicoechea, Eureka, NV
C. Schank, Churchill County, NV
C. Jackson, Mineral County, NV
F. Sperry, White Pine County, NV
L. Vaughan, Esmeralda County, NV
K. Hooks, NRC, Washington, D.C.
J. W. Gilray, NRC, Las Vegas, NV
W. Belke, NRC, Washington, D.C.
F. Peters, HQ, (RW-2) FORS
S. J. Brocoum, HQ, (RW-22) FORS
D. E. Shelor, HQ, (RW-30) FORS
R. A. Milner, HQ, (RW-40) FORS
R. J. Brackett, TESS, HQ (RW-3) FORS
S. Rousso, HQ (RW-10) FORS
T. Isaacs, HQ (RW-4) FORS
J. Saltzman, HQ (RW-5) FORS

AUDIT PLAN
AUDIT NUMBER: HQ-92-001
AUDIT OF OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT (OCRWM)

An audit of OCRWM will be conducted the week of October 15-18, 1991 in the Forrestal Building. A team will concurrently conduct an audit of the Yucca Mountain Project Office Quality Assurance Division's oversight activities.

The audit will be conducted by:

Thomas E. Rodgers	CER Corp., Arlington, VA	Audit Team Leader
Fred Bearham	CER Corp., Arlington, VA	Auditor
R. Dennis Brown	CER Corp., Arlington, VA	Auditor
Norman C. Frank	CER Corp., Arlington, VA	Auditor
F. Hugh Lentz	CER Corp., Arlington, VA	Auditor
Marc J. Meyer	CER Corp., Arlington, VA	Auditor
Craig G. Walenga	CER Corp., Arlington, VA	Auditor
Wayne Booth	Weston, Washington, DC	Auditor
Louis Wade	Weston, Washington, DC	Auditor
Robert Constable	DOE, YMPO	Auditor
Frank Kratzinger	SAIC, Las Vegas	Auditor
TBD		Technical Specialist

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 scope will include the activities of YMPO QA Division and OCRWM HQ Activities up to the time of the audit.

QA PROGRAM ELEMENTS

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 DOE/RW-0214, Quality Assurance Requirements Document (QARD), DOE/RW-0215, Quality Assurance Program Description Document (QAPD), applicable Quality Assurance Administrative Procedures (QAAPs), and the Implementing Line Procedures (ILPs).

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, review and approval of technical documents.

Specific technical documents will include:

Physical System Requirements:	Overall System
Physical System Requirements:	ESF
Physical System Requirements:	Store Waste
Physical System Requirements:	Accept Waste
Physical System Requirements:	Dispose Waste
Programmatic Requirements:	Overall System
Programmatic Requirements:	ESF
Programmatic Requirements:	Store Waste
Programmatic Requirements:	Accept Waste
Programmatic Requirements:	Dispose Waste

3. Program Change Control Board activities, as implemented for quality affecting documents.

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.

Preliminary Audit Schedule

Audit Team Briefing	October 15th	8:30 am
Preaudit Meeting	October 15th	9:00 am
Conduct of Audit	October 15th	9:30 am - 4:00 pm
	October 16th & 17th	8:30 am - 4:00 pm
	October 18th	8:30 am - 12:00 pm
Postaudit Meeting	October 18th	2:30 pm - 3:30 pm
Daily Audit Team Debriefing		4:00 pm
Daily Summary to OCRWM		8:30 am

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

Prepared by: Thomas E. Rodgers Date: 9/17/91
Thomas E. Rodgers, CER Corporation
Audit Team Leader

Approved by: R.W. Clark Date: 9/18/91
Robert W. Clark, Director
Headquarters Quality Assurance Division

Approved by: R.W. Clark Date: 9/18/91
For Donald G. Horton, Director
Office of Quality Assurance