OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT (OCRWM)

OFFICE OF QUALITY ASSURANCE (OQA)

AUDIT PLAN FOR AUDIT HQ-95P-02A

OF THE

EM-323 HIGH LEVEL WASTE QUALITY ASSURANCE PROGRAM

GERMANTOWN, MARYLAND

NOVEMBER 14-16, 1994

Prepared by: Walter R. Coutier Date: 10/27/94

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Quality Assurance Technical Support Services

Approved by: R.W. Cole Date: 11/3/94

Donald G. Horton, Director
Office of Quality Assurance

1.0 SCOPE

The scope of the audit will include the evaluation of processes and activities of the EM-323 High Level Waste corrective action process. The audit will be a performance-based evaluation of the processes and products to determine the effectiveness of the EM-323 quality assurance (QA) program with regard to the corrective action process. In addition, the audit will focus on the process effectiveness for the issuance, response, and closure of deficiencies identified since October 1, 1993.

Follow up of any open OCRWM initiated Corrective Action Requests (CARs) and a sample of discrepancies identified during previous QA audits and surveillances will be included in the scope of this audit to determine the effectiveness of EM-323 corrective actions.

2.0 AUDIT SCHEDULE

Pre-audit Team/Observer Meeting	8:30 a.m., November 14, 1994 Germantown, Md.
Pre-audit Conference	9:00 a.m., November 14, 1994 Germantown, Md.
Audit Activities	9:30 a.m. to 4:00 p.m. November 14, 1994 Germantown, Md.
	9:00 a.m. to 4:00 p.m. November 15, 1994
	8:30 a.m. to 12:00 p.m. November 16, 1994
Post-audit Conference	4:00 p.m., November 16, 1994 Germantown, Md.

There will be a daily Audit Team/Observer Meeting at 4:00 p.m. and also a daily Management Briefing starting at 8:30 a.m. to discuss potential deficiencies and establish any needed liaison.

3.0 REQUIREMENTS TO BE AUDITED AND APPLICABLE REFERENCES

The requirements to be audited will be contained in process checklists. These checklists will be developed based on the critical steps of the corrective action process as identified by the OCRWM OQA audit team and EM-323 representatives.

4.0 ACTIVITIES TO BE AUDITED

EM-323 processes and products associated with the corrective action process will be audited. The processes and products are the result of a joint OCRWM and EM-323 evaluation of EM-323 activities to identify critical steps in the corrective action process. The following is a list of the identified critical steps:

1 Identification
2 Notification/Responsibility
3 Evaluation
4 Verification

5.0 AUDIT TEAM MEMBERS

The audit team will consist of:

Walter Coutier	QATSS, Washington, D. C.	Audit Team Leader
Tom Swift	QATSS, Washington, D. C.	Audit Sub-Team Leader
Conrad Coulombe	QATSS, Washington, D. C.	Auditor
Emily Reiter	QATSS, Washington, D. C.	Auditor

Observers from the State of Nevada, the NRC, and other interested parties will be invited to participate.

6.0 ORGANIZATIONS TO BE NOTIFIED

EM-33 and EM-323

7.0 AUDIT CHECKLISTS

The following audit checklists will be used in the performance of this audit.

HQ-95P-02A Performance based checklist: Checklist based on critical steps in the overall process involving corrective action.

EM-323
CORRECTIVE ACTION PROCESS
END PRODUCT = DEFICIENCIES ADEQUATELY RESOLVED

PROCESS STEP	OBJECTIVES	CRITERIA
Identification	Identification to control and correct program deficiencies	Effectively documented: Audit and Surveillance reports; Management Assessments; DCARs; Observations;
Notification/Responsibilities	Appropriate management awareness; assign Corrective Action responsibility	Notification letter; Audit and Surveillance Reports (Observations only identified in Reports-response required); DCARs
Evaluation	Corrective Action appropriate to address deficiency; rational and source of response.	Address deficiency (Observations, DCARs, Recommendations, Personal interviews).
Verification	Verify implementation of corrective action	Audits, Surveillance, Trip Reports, Memos, other Documentation.