

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT

QUALITY ASSURANCE AUDIT PLAN

FOR AUDIT YM-ARC-96-02

OF

**THE CIVILIAN RADIOACTIVE WASTE MANAGEMENT SYSTEM
MANAGEMENT AND OPERATING CONTRACTOR**

AT

LAWRENCE BERKELEY LABORATORY

BERKELEY, CALIFORNIA

OCTOBER 30 THROUGH NOVEMBER 3, 1995

Prepared by: Charles C. Warren Date: 9-25-95
Charles C. Warren
Audit Team Leader
Yucca Mountain Quality Assurance Division

Approved by: Donald G. Horton Date: 10/2/95
Donald G. Horton
Director
Office of Quality Assurance

1.0 SCOPE

This full scope audit, to be performed by a team of auditors from the Yucca Mountain Quality Assurance Division (YMQAD) will be conducted to evaluate implementation of the Civilian Radioactive Waste Management System Management and Operating Contractor's Quality Assurance (QA) Program for Lawrence Berkeley Laboratory (LBL) to determine whether it meets the requirements and commitments imposed by the Office of Civilian Radioactive Waste Management (OCRWM). This will be done by verifying implementation, adequacy, and determination of effectiveness of the QA program in place, as well as verifying compliance with requirements.

In addition, a review of the status of open OCRWM deficiency documents identified during previous surveillances of LBL will be included in the scope of this audit to determine the status of corrective actions.

The programmatic elements to be audited, as well as those programmatic elements not currently implemented, are identified in Section 4.0 of this audit plan.

2.0 AUDIT SCHEDULE

Preaudit Team/Observer Meeting	8:30 a.m., October 30, 1995 Berkeley, California
Preaudit Conference	9:00 a.m., October 30, 1995 Berkeley, California
Audit Activities	10:00 a.m. - 4:00 p.m. October 30, 1995 Berkeley, California
	8:00 a.m. - 4:00 p.m. October 31-November 2, 1995
	8:00 a.m. - 11:00 a.m. November 3, 1995
Post-audit conference	1:00 p.m., November 3, 1995 Berkeley, California

There will be a daily YMQAD Audit Team/Observer meeting starting at 4:00 p.m. and also a daily Audit Team Leader (ATL) /Observer/LBL meeting starting at 8:15 a.m. to communicate audit progress, discuss potential deficiencies and establish needed liaison. Both daily meeting will be held at locations provided by LBL.

3.0 REQUIREMENTS TO BE AUDITED AND APPLICABLE REFERENCES

The requirements to be audited will be contained in the programmatic checklist. This checklist will be developed from the latest available revision of the following documents.

- OCRWM Quality Assurance Requirements and Description document
DOE/RW-0333P
- LBL Quality Implementing Procedures

The conduct of the audit will be guided by the documents (latest revision) listed below:

- Quality Assurance Procedure QAP 18.2, "Audit Program"
- Administrative Procedure (AP) 16.1Q, "Performance/Deficiency Reporting"
- AP 16.2Q, "Corrective Action and Stop Work"

4.0 ACTIVITIES TO BE AUDITED

Programmatic Elements

- 1.0 Organization
- 2.0 Quality Assurance Program
- 4.0 Procurement Document Control
- 5.0 Implementing Documents
- 6.0 Document Control
- 7.0 Control of Purchased Items and Services
- 12.0 Control of Measuring and Test Equipment
- 15.0 Nonconformances
- 16.0 Corrective Action
- 17.0 Quality Assurance Records
- Supplement I, Software
- Supplement II, Sample Control
- Supplement III, Scientific Investigation

The following QA program elements were also considered during the development of this audit plan and found to be not applicable, since LBL currently has no activities to which these elements apply:

- 3.0 Design Control
- 8.0 Identification and Control of Items
- 9.0 Control of Special Processes
- 10.0 Inspection

- 11.0 Test Control
 - 13.0 Handling, Storage, and Shipping
 - 14.0 Inspection, Test, and Operating Status
 - 18.0 Audits
- Supplement IV, Field Surveying

If the audit team identifies a need to verify additional programmatic areas, during the audit, these areas will be added to the audit scope and evaluated accordingly.

5.0 AUDIT TEAM MEMBERS

Charles C. Warren, YMQAD, Las Vegas, Nevada, ATL
Patrick V. Auer, YMQAD, Las Vegas, Nevada, ATL in Training
John F. Pelletier, YMQAD, Las Vegas, Nevada, Auditor
John R. Doyle, YMQAD, Las Vegas, Nevada, Auditor
Thomas J. Higgins, YMQAD, Las Vegas, Nevada, Auditor
John E. Therien, YMQAD, Las Vegas, Nevada, Auditor

6.0 AUDIT CHECKLIST

The following checklist will be used during the audit:

YM-ARC-96-02-01, Programmatic Checklist