

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT

QUALITY ASSURANCE AUDIT PLAN

FOR AUDIT YM-ARC-96-18

OF THE

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

AT

SANDIA NATIONAL LABORATORIES

**THE YUCCA MOUNTAIN SITE
LAS VEGAS, NEVADA**

JULY 17 THROUGH 19, 1996

AND

ALBUQUERQUE, NEW MEXICO

JULY 22 THROUGH 26, 1996

Prepared by:

Richard L. Weeks

Date:

6/16/96

Richard L. Weeks
Audit Team Leader
Yucca Mountain Quality Assurance Division

Approved by:

D. G. Horton

Date:

6/12/96

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 (CRWMS M&O) Quality Assurance (QA) Program at the Sandia National Laboratories (SNL), Yucca Mountain Site, Nevada, and Albuquerque, New Mexico, 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. A specific technical activity has been selected and included to be evaluated as part of the audit.

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

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

2.0 AUDIT SCHEDULE

Technical activities will be audited from July 17 through 19, 1996, at the Yucca Mountain Site, Nevada, and are scheduled as follows:

Preaudit Team/Observer Meeting	8:00 a.m., July 17, 1996 Field Operations Center (FOC), Yucca Mountain Site, Nevada
Preaudit Conference	9:00 a.m., July 17, 1996 Exploratory Studies Facility (ESF) Pad Yucca Mountain Site, Nevada
Audit Activities	9:30 a.m. to 3:30 p.m. July 17, 1996
	8:30 a.m. to 3:30 p.m. July 18, 1996
	8:30 a.m. to 12:00 p.m. July 19, 1996

Preliminary Postaudit
Conference

2:00 p.m., July 19, 1996
ESF Pad
Yucca Mountain Site, Nevada

There will be a daily Audit Team/Observer meeting at 4:00 p.m. at the FOC to review audit progress. Beginning Thursday, July 18, 1996, and Friday, July 19, 1996, there will also be a daily Audit Team Leader (ATL)/Observer/SNL management meeting at 8:30 a.m. at the ESF Pad to communicate audit progress, discuss potential deficiencies, and establish needed liaison.

The audit will resume on July 22, 1996, and continue through July 26, 1996, at the SNL facilities located in Albuquerque, New Mexico. The audit schedule is as follows:

Preaudit Team/Observer Meeting 8:30 a.m., July 22, 1996
Albuquerque, New Mexico

Preaudit Conference 9:00 a.m., July 22, 1996
Albuquerque, New Mexico

Audit Activities 9:30 a.m. to 4:00 p.m.
July 22, 1996

8:00 a.m. to 4:00 p.m.
July 23 through 25, 1996

8:00 a.m. to 11:00 a.m.
July 26, 1996

Postaudit Conference 1:00 p.m., July 26, 1996
Albuquerque, New Mexico

There will be a daily Audit Team/Observer meeting at 4:00 p.m. to review audit progress. Beginning Tuesday, July 23, 1996 through Friday, July 26, 1996, there will also be a daily ATL/Observer/SNL management meeting at 8:15 a.m. to communicate audit progress, discuss potential deficiencies, and establish needed liaison. Both daily meetings will be held at locations provided by SNL.

3.0 REQUIREMENTS TO BE AUDITED AND APPLICABLE REFERENCES

The requirements to be audited will be contained in programmatic and technical checklists. These checklists will be developed from the latest available revision of the Quality Assurance Requirements and Description document, DOE/RW-0333P, SNL's approved and issued QA Program procedures, study plans, technical procedures, Yucca Mountain Site Characterization Office procedures as directly implemented by SNL,

and the performance objectives established and agreed upon with SNL's management. The conduct of the audit will be in accordance with the documents (latest revision) listed below:

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

4.0. ACTIVITIES TO BE AUDITED

The following QA Program elements will be audited to determine the degree of compliance to SNL's implementing procedures:

Programmatic Elements

- 1.0 Organization
- 2.0 Quality Assurance Program
- 3.0 Design Control
- 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
- 18.0 Audits (Surveillances only)
- Supplement I, Software
- Supplement II, Sample Control
- Supplement III, Scientific Investigation
- Supplement V, Control of the Electronic Management of Data

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

- 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
- 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.

Technical Elements

Technical activities identified in Work Breakdown Structure 1.2.3.2.7.3.4, "In-Situ Design Verification," will be evaluated during the audit. This evaluation of process effectiveness and product acceptability will be based upon:

1. Technical qualifications of technical personnel
2. Understanding of procedural requirements as they pertain to related work
3. Adequacy of technical procedures, as applicable
4. Development of study plans, scientific investigations, work-supporting documents, and related products

5.0 AUDIT TEAM MEMBERS

Richard L. Weeks, YMQAD, Las Vegas, Nevada, ATL
James Blaylock, YMQAD, Las Vegas, Nevada, Auditor
Mario R. Diaz, YMQAD, Las Vegas, Nevada, Auditor
Donald J. Harris, YMQAD, Las Vegas, Nevada, Auditor
Stephen D. Harris, YMQAD, Las Vegas, Nevada, Auditor
Mary G. McDaniel, YMQAD, Las Vegas, Nevada, Auditor
Jeff J. LeFever, CRWMS M&O, Las Vegas, Nevada, Technical Specialist

6.0 AUDIT CHECKLISTS

The following checklists will be used during the audit:

YM-ARC-96-18-01, Programmatic Checklist
YM-ARC-96-18-02, Technical Checklist

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PAGE 1 OF 24
AUDIT/SURVEILLANCE
NO YH-1RC-96-18-02

QUALITY ASSURANCE CHECKLIST

ORGANIZATION EVALUATED Sandia National Laboratories	<input type="checkbox"/> EXTERNAL <input checked="" type="checkbox"/> INTERNAL	<input checked="" type="checkbox"/> AUDIT <input type="checkbox"/> SURVEILLANCE	PREPARED BY <u>Richard L. Weeks</u> DATE <u>7-10-96</u>
DATES OF EVALUATION 7/17-19 & 7/22-26/96			

CONTROLLING DOCUMENT (Title, Number, Revision)	ACTIVITY EVALUATED
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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, persons contacted	RESULTS
1.	<p>TP-236, REVISION 01, "OPERATION, CALIBRATION, AND CONTROL OF TAPE EXTENSOMETERS"</p> <p>Examine the pre-measurement performance check using the Geokon static frame, SNL #010. Run through a performance check using TP-236.</p>		
2.	<p>Examine the corresponding static frame instrument calibration certificate and data.</p>		

* INDICATE RESULTS: SATISFACTORY (SAT), UNSATISFACTORY (UNSAT), NOT APPLICABLE (N/A)

8:06 No.002 P.02

JUL 11 '96

ID:

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U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 2 OF 24
AUDIT/SURVEILLANCE
NO TH-ARC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3.	FP-236, REVISION 01, "OPERATION, CALIBRATION, AND CONTROL OF TAPE EXTENSOMETERS" (Continued) Examine the "Convergence Monitoring Field Book," CMFB 001,002, or 003.		
4.	Examine the "Pre- and Post- Measurement Performance Check" records.		

JUL 11 '96 8:06 No.002 P.03

ID:

OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 3 OF 24
AUDIT/SURVEILLANCE
NO IX-ARC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5.	EP-237, REVISION 03, "INSTALLATION AND VERIFICATION OF INSTRUMENTATION WIRING" At the YEP, what group actually does the field wiring: SHL, Kiewit/Parsons Brinckerhoff (Kiewit/PB), other?		
6.	Examine a "pre-fabrication specification, plan or layout" of a typical wiring installation. Where are these records maintained?		

8:06 No.002 P.04

JUL 11 '96

ID:

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U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 4 OF 24
AUDIT/SURVEILLANCE
NO. YM-ARC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7.	TP-217, REVISION 00, "INSTALLATION AND VERIFICATION OF INSTRUMENTATION WIRING" Examine a "Wiring Verification Plan"		
8.	Examine "As-Built Wiring Layout"		

JUL 11 '96 8:07 No.002 P.05

JUL 11 '96

ID:

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RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 5 OF 24
AUDIT/SURVEILLANCE
NO YK-ARC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9.	EP-237, REVISION 60, "INSTALLATION AND VERIFICATION OF INSTRUMENTATION WIRING" Can the above items be cross-referenced in other files or Scientific Notebooks?		

JUL 11 '96 8:07 No.002 P.06

ID:

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RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 6 OF 24
AUDIT/SURVEILLANCE
NO. YM-ARC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
10.	TP-238, REVISION 0, "INSTALLATION OF CONVERGENCE PINS" Examine a field installed Convergence Pin (CP) arrangement.		
11.	Does Kiewit/PE install the CP? At the time of installation, is a SNL field representative present?		

8:08 No.002 P.07

JUL 11 '96

ID:

OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 7 OF 24
AUDIT/SURVEILLANCE
NO YM-ARC-36-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
12.	TP-238, REVISION 0, "INSTALLATION OF CONVERGENCE PINS" (Continued) Examine "Convergence Point As-Built Documentation" - Most recent?		
13.	How is the decision made to install the CP on a rock bolt or steel set?		

8:08 No.002 P.08

JUL 11 '96

ID:

OFFICE OF CIVILIAN
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U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 8 OF 24
AUDIT/SURVEILLANCE
NO YM-ARC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
14.	TP-238, REVISION 0, "INSTALLATION OF CONVERGENCE PINS" (Continued) How are the CP installation requirements "specified" written, records, drawings? Examine a typical arrangement.		
15.	How many different thread lock adhesives are used? Where are the "manufacturer" instructions? (Loc-fite Type N, or equivalent)		

8:09 No.002 P.09

JUL 11 '96

ID:

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U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 9 OF 24
AUDIT/SURVEILLANCE
NO YM-ARC-95-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
16.	TP-218, REVISION 0, "INSTALLATION OF CONVERGENCE PINS" (Continued) Is the "survey data" collected at the time of installation?		
17.	Who qualifies the vendors for procuring the Convergence Pins? Where is that record?		

JUL 11 '96 8:09 No.002 P.10

ID:

JUL 11 '96

OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 10 OF 24
AUDIT/SURVEILLANCE
NO YM-ARC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
18.	TP-239, REVISION 01, "INSTALLATION OF EXTENSOMETERS" Examine a typical borehole (SPBX or MPBX) instrument "arrangement layout" drawing.		
19.	Examine a field-installed SPBX and MPBX, and their corresponding station as-built layout documents.		

JUL 11 '96 8:10 No.002 P.11

JUL 11 '96

ID:

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U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 11 OF 24
AUDIT/SURVEILLANCE
NO. YM-ARC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
20.	TP-259, REVISION 01, "INSTALLATION OF CONVERGENCE PINS" (Continued) Examine the "record" verifying that measurement and test equipment are calibrated and are on the YMP SNL equipment Inventory and Calibration Schedule.		

JUL 11 '96 8:10 No.002 P.12

ID:

JUL 11 '96

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RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 12 OF 24
AUDIT/SURVEILLANCE
NO YM-ARC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
21.	TP-244, REVISION 00, "DOWNLOADING, VERIFYING, AND BACKING UP ELECTRONIC DATA TAKEN BY DATA LOGGER" Examine a recent "Data Logger Data Collection Form".		
22.	Examine the "stationary data logger" in Alcove 1. Are there any others?		

JUL 11 '96 8:10 No.002 P.13

ID:

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RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 13 OF 24
AUDIT/SURVEILLANCE
NO YM-ARC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
23.	<p>SP-244, REVISION 00, "DOWNLOADING, VERIFYING, AND BACKING UP ELECTRONIC DATA TAKEN BY DATA LOGGER" (Continued)</p> <p>Data collected from the Data Logger is backed up daily. Examine the process.</p>		
24.	<p>Where is the Sandia office computer? Las Vegas, Nevada; Albuquerque, New Mexico?</p>		

8:11 No.002 P.14

JUL 11 '96

ID:

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RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 14 OF 24
AUDIT/SURVEILLANCE
NO YM-ARC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
25.	TP-244, REVISION 00, "DOWNLOADING, VERIFYING, AND BACKING UP ELECTRONIC DATA TAKEN BY DATA LOGGER" (Continued) Examine the Scientific Notebooks with data disks. Who has access to this data? How is it controlled?		

8:11 No.002 P.15

JUL 11 '96

ID:

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RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 15 OF 24
AUDIT/SURVEILLANCE
NO EM-13C-55-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
26.	FP-248, REVISION 00, "READING, VERIFYING, AND BACKUP INSTRUMENTS USING PORTABLE DATA LOGGER" Examine the most current "Portable Data Logger" (PDL) log book.		
27.	Examine a "calibrated" GK401 or GK403 manual readout instrument. How often are these instruments calibrated? Examine record.		

JUL 11 '96 8:12 No.002 P.16

ID:

JUL 11 '96

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U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 16 OF 24
AUDIT/SURVEILLANCE
NO. YM-ARC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
28.	<p>TF-248, REVISION 00, "READING, VERIFYING, AND BACKUP INSTRUMENTS USING PORTABLE DATA LOGGER" (Continued)</p> <p>If the PDL is found out of calibration, what process is followed to get the unit calibrated? Examine records.</p>		
29.	<p>Is the PDL junction box "power" surge protected? What prevents tampering of the unit and/or wiring?</p>		

8:12 No.002 P.17

JUL 11 '96

ID:

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RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 17 OF 24
AUDIT/SURVEILLANCE
NO EM-ERC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
30.	FP-248, REVISION 00, "READING, VERIFYING, AND BACKUP INSTRUMENTS USING PORTABLE DATA LOGGER" (Continued) Is the PDL backed up on the same day? What if it isn't? Where are the Scientific Notebooks (SNB #031) kept? What protects the data from tampering?		

JUL 11 '96 8:13 No.002 P.18

ID:

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RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 18 OF 24
AUDIT/SURVEILLANCE
NO YK-ARC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
31.	TP-249, REVISION 00, "MAINTENANCE, VERIFICATION, AND REJECTION CRITERIA OF INSTRUMENTATION" What schedules are followed for instrumentation maintenance? Examine records. (six weeks/quarterly by PI)		
32.	List the instruments being used.		

8:13 No.002 P.19

JUL 11 '96

ID:

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U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.**

PAGE 19 OF 24
AUDIT/SURVEILLANCE
NO YM-ARC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
33.	<p>EP-249, REVISION 00, "MAINTENANCE, VERIFICATION, AND REJECTION CRITERIA OF INSTRUMENTATION" (Continued)</p> <p>Examine established "rejection criteria" and "threshold criteria" for:</p> <ul style="list-style-type: none"> - tape extensometer - extensometer - air velocity - other (?) <p>How is this "criteria" established?</p>		
34.	<p>Examine Instrument Maintenance Records. Trace a recent record for an extensometer.</p>		

JUL 11 '96 8:13 No.002 P.20

ID:

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U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 20 OF 24
AUDIT/SURVEILLANCE
NO YM-ARC-96-28-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
35.	TP-249, REVISION 00, "MAINTENANCE, VERIFICATION, AND REJECTION CRITERIA OF INSTRUMENTATION" (Continued) What's the difference between a "Replacement Record" and a "Data Record"?		

8:14 No.002 P.21

JUL 11 '96

ID:

214

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U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 21 OF 24
AUDIT/SURVEILLANCE
NO YM-ARC-95-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
36.	TP-250, REVISION 00, "CALIBRATION, PREPARATION, INSTALLATION, AND OPERATIONS OF INSTRUMENTED ROCK BOLTS" Examine a recent "Instrumented Rock Bolt" (IRB) calibration document from the vendor.		
37.	Examine IRB vendor information and its inclusion on "IRB Installation Form." Examine record of IRB tracking codes or numbers.		

JUL 11 '96 8:14 No.002 P.22

ID:

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RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 22 OF 24
AUDIT/SURVEILLANCE
NO YM-ARC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
38.	TP-250, REVISION 00, "CALIBRATION, PREPARATION, INSTALLATION, AND OPERATIONS OF INSTRUMENTED ROCK BOLTS" (Continued) Examine the "Instrumented Rock Bolt Data Sheet."		
39.	Where are the "data" or records stored, hard or electronic data? Copies sent to where?		

8:15 No.002 P.23

JUL 11 '96

ID:

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U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 23 OF 24
AUDIT/SURVEILLANCE
NO YH-ARC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
40.	<p>GENERAL QUESTIONS</p> <p>How does Agapito support integrate into SNL efforts? Who completes the training per the various QAP's and TP's? Examine training records?</p>		
41.	<p>The work Scope and Objectives talk about "contingency planning." What are SNL contingency plans?</p>		

JUL 11 '96 8:15 No.002 P.24

ID:

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RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

PAGE 24 OF 24
AUDIT/SURVEILLANCE
NO YK-ARC-96-18-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
42.	<p>GENERAL QUESTIONS (Continued)</p> <p>Examine "test" monitoring frequency for the various tests; how is this established?</p>		

JUL 11 '96 8:16 No.002 P.25

ID: