

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT

QUALITY ASSURANCE AUDIT PLAN

FOR AUDIT LBNL-ARC-97-07

OF THE

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

AT

LAWRENCE BERKELEY NATIONAL LABORATORY

**BERKELEY, CALIFORNIA
JANUARY 6 THROUGH 10, 1997**

Prepared by:


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Audit Team Leader

Yucca Mountain Quality Assurance Division

Date:

11/11/96

Approved by:



Donald G. Horton

Director

Office of Quality Assurance

Date:

11/13/96

Enclosure.

1.0 SCOPE

This full scope audit, to be performed by a team of auditors from the Office of Quality Assurance (OQA), 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 Lawrence Berkeley National Laboratory (LBNL) 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 QA audits and surveillances of the LBNL 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 plan.

2.0 AUDIT SCHEDULE

Preaudit Team/Observer Meeting	8:30 a.m., January 6, 1997 Berkeley, California
Preaudit Conference	9:15 a.m., January 6, 1997 Berkeley, California
Audit Activities	10:00 a.m. to 4:00 p.m. January 6, 1997 Berkeley, California
	8:00 a.m. to 4:00 p.m. January 7-9, 1997 Berkeley, California
	8:00 a.m. to 11:30 a.m. January 10, 1997 Berkeley, California
Postaudit Conference	1:00 p.m., January 10, 1997 Berkeley, California

There will be a daily OQA Audit Team/Observer meeting starting at 4:00 p.m. to review audit progress. Beginning on Tuesday, January 7, 1997, there will also be a daily Audit

Team Leader/Observer/LBNL management meeting at 8:15 a.m. to communicate audit progress, to discuss potential deficiencies, and to establish needed liaison. Both daily meetings will be held at locations provided by LBNL.

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 Quality Assurance Requirements and Description document, DOE/RW-0333P, Yucca Mountain Site Characterization Office procedures as directly implemented by LBNL, and LBNL Quality Implementing Procedures

The conduct of the audit will be guided by 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

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
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 LBNL 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

5.0 AUDIT TEAM MEMBERS

Cynthia A. Humphries-Alder, OQA, Las Vegas, Nevada, Audit Team Leader
Stephen R. Dana, OQA, Las Vegas, Nevada, Auditor
John E. Therien, OQA, Las Vegas, Nevada, Auditor
Dennis C. Threath, OQA, Las Vegas, Nevada, Auditor

6.0 AUDIT CHECKLIST

The following checklist will be used during the audit:

LBNL-ARC-97-07-01, Programmatic Checklist