

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT

QUALITY ASSURANCE AUDIT PLAN

FOR AUDIT EM-ARC-97-05

OF

NATIONAL SPENT NUCLEAR FUEL PROGRAM

AT

IDAHO FALLS, IDAHO

MARCH 31 THROUGH APRIL 4, 1997

Prepared by: C.C. Wood for G.D. Wood Date: 3-4-97
Gary D. Wood
Audit Team Leader
Office of Quality Assurance

Approved by: James Blaylock for Date: 3/6/97
Donald G. Horton
Director
Office of Quality Assurance

1.0 SCOPE

This compliance based audit, to be performed by a team of auditors from the U.S. Department of Energy's Office of Quality Assurance (OQA), will be conducted to evaluate the National Spent Nuclear Fuel (SNF) Program's implementation of the Quality Assurance (QA) Program 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 effectiveness of the QA Program procedures in place, as well as verifying compliance with the requirements.

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	2:00 p.m., March 31, 1997 Idaho Falls, Idaho
Preaudit Conference	3:00 p.m., March 31, 1997 Idaho Falls, Idaho
Audit Activities	8:00 a.m. to 4:00 p.m. April 1-3, 1997 Idaho Falls, Idaho
	8:00 a.m. to 3:00 p.m. April 4, 1997 Idaho Falls, Idaho
Postaudit Conference	3:00 p.m., April 4, 1997 Idaho Falls, Idaho

There will be a daily Audit Team/Observer meeting at 4:00 p.m. to review audit progress. Beginning Wednesday, April 2, 1997, there will be a daily Audit Team Leader (ATL)/Observer/SNF Management meeting at 8:15 a.m. to communicate audit progress, discuss potential deficiencies, and to establish needed liaison. The daily meetings will be held at locations provided by the SNF Management.

3.0 REQUIREMENTS TO BE AUDITED AND APPLICABLE REFERENCES

The requirements to be audited will be contained in a 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
- SNF's Quality Management Plan, and Program Management Procedures

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

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

4.0 ACTIVITIES TO BE AUDITED

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
- 16.0 Corrective Action
- 17.0 Quality Assurance Records
- 18.0 Audits
- Supplement I Software
- Supplement III Scientific Investigation
- Supplement V Control of the Electronic Management of Data
- Appendix B Storage and Transportation

The following QA Program elements were also considered during the development of this audit plan and found to be not applicable, since the SNF 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

- 12.0 Control of Measuring and Test Equipment
- 13.0 Handling, Storage and Shipping
- 14.0 Inspection, Test and Operating Status
- 15.0 Nonconformances
- Supplement II Sample Control
- Supplement IV Field Surveying
- Appendix A High-Level Waste Form Production
- Appendix C Mined Geologic Disposal System

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

Gary D. Wood, OQA, Washington, DC, ATL
James E. Clark, OQA, Las Vegas, NV, Auditor
Dennis C. Threath, OQA, Las Vegas, NV, Auditor
Charles C. Warren, OQA, Las Vegas, NV, Auditor

6.0 AUDIT CHECKLISTS

The following checklist will be used during the audit:

- EM-ARC-97-05, Programmatic Checklist