

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT

QUALITY ASSURANCE AUDIT PLAN

FOR AUDIT USGS-ARC-97-15

OF THE

UNITED STATES GEOLOGICAL SURVEY

DENVER, COLORADO

APRIL 28 THROUGH MAY 2, 1997

Prepared by:

Cynthia A. Humphries-Alder

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Audit Team Leader
Office of Quality Assurance

Date:

5/20/97

Approved by:

James B. Blaylock for

Donald G. Horton
Director
Office of Quality Assurance

Date:

3/26/97

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 U.S. Geological Survey's (USGS) 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 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 USGS 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., April 28, 1997 Denver, Colorado
Preaudit Conference	9:00 a.m., April 28, 1997 Denver, Colorado
Audit Activities	10:00 a.m. to 4:00 p.m. April 28, 1997 Denver, Colorado
	8:00 a.m. to 4:00 p.m. April 29-May 1, 1997 Denver, Colorado
	8:00 a.m. to 11:30 a.m. May 2, 1997 Denver, Colorado
Postaudit Conference	1:30 p.m., May 2, 1997 Denver, Colorado

There will be a daily OQA Audit Team/Observer meeting starting at 4:00 p.m. to review audit progress. Beginning on Tuesday, April 29, 1997, there will also be a daily Audit Team Leader/Observer/USGS 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 USGS.

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:

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

The following QA Program elements were also considered during the development of this audit plan and found to be not applicable, since USGS 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
Supplement V, Control of the Electronic Management of Data

If the 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

Cynthia A. Humphries-Alder, OQA, Las Vegas, Nevada, Audit Team Leader
James Blaylock, OQA, Las Vegas, Nevada, Auditor
Henry T. Greene, OQA, Las Vegas, Nevada, Auditor
Kristi A. Hodges, OQA, Las Vegas, Nevada, Auditor

6.0 AUDIT CHECKLIST

The following checklist will be used during the audit:

USGS-ARC-97-15-01, Programmatic Checklist