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OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT

QUALITY ASSURANCE AUDIT PLAN

FOR AUDIT LANL-ARC-97-19

OF THE

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

AT

LOS ALAMOS NATIONAL LABORATORY

LOS ALAMOS, NEW MEXICO

JULY 21 - 25, 1997

Prepared by: *Kristi A. Hodges* Date: 6/18/97
Kristi A. Hodges
Audit Team Leader
Office of Quality Assurance

Approved by: *R. W. Clap* Date: 6/24/97
for 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 Los Alamos National Laboratory's (LANL) 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 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 LANL 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

Pre-Audit Team/Observer Meeting	8:30 a.m. July 21, 1997 Los Alamos, New Mexico
Pre-Audit Conference	9:00 a.m. July 21, 1997 Los Alamos, New Mexico
Audit Activities	10:00 a.m. to 4:00 a.m. July 21, 1997 Los Alamos, New Mexico
	8:00 a.m. to 4:00 p.m. July 22 - 24, 1997 Los Alamos, New Mexico
	8:00 a.m. to 10:00 p.m. July 25, 1997 Los Alamos, New Mexico

Post-Audit Conference

11:00 a.m., July 25, 1997
Los Alamos, New Mexico

There will be a daily OQA Audit Team/Observer meeting starting at 4:00 p.m. to review audit progress. Beginning on Tuesday, July 22, 1997, there will also be a daily Audit Team Leader/Observer/LANL 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 LANL.

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 LANL
- LANL Quality 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
- Supp. I Software
- Supp. II Sample Control
- Supp. III Scientific Investigation
- Supp. V Control of 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 LANL 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
- Supp. IV Field Surveying

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

Kristi A. Hodges, OQA, Las Vegas, Nevada, Audit Team Leader
Kenneth O. Gilkerson, OQA, Las Vegas, Nevada, Auditor
Edward P. Opelski, OQA, Las Vegas, Nevada, Auditor
Emily S. Reiter, OQA, Las Vegas, Nevada, Auditor

6.0 AUDIT CHECKLIST

The following checklist will be used during the audit:

LANL-ARC-97-19-01, Programmatic Checklist