

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT

QUALITY ASSURANCE AUDIT PLAN

FOR AUDIT OCRWM-ARC-97-23

OF THE

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT

AT

WASHINGTON, DC

AUGUST 4 THROUGH 8, 1997

Prepared by: Donald J. Harris Date: 7/2/97
D. J. Harris
Audit Team Leader
Office of Quality Assurance

Approved by: James Blayford for Date: 7/3/97
Donald G. Horton
Director
Office of Quality Assurance

1.0 SCOPE

A full scope audit will be performed by a team of auditors from the Office of Quality Assurance (OQA). The audit will be conducted to evaluate implementation of the Office of Civilian Radioactive Waste Management (OCRWM) Quality Assurance (QA) Program in Washington, DC, to determine whether it meets the requirements of the Quality Assurance Requirements and Description document (QARD). This audit will be performed by verifying implementation, adequacy, and determination of effectiveness of the QA program, as well as verifying compliance with the upper tier requirements. In addition, quality affecting activities performed by the Energy Information Administration (EIA) in direct support of OCRWM will be evaluated within the scope of this audit.

A review of the OCRWM deficiency documents identified during previous QA audits and surveillances of OCRWM and EIA will also be included in the scope of this audit to determine effectiveness 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 audit plan.

2.0 AUDIT SCHEDULE

Pre-audit Team/Observer Meeting	8:30 a.m. August 4, 1997 Washington, DC
Pre-audit Conference	9:00 a.m. August 4, 1997 Washington, DC
Audit Activities	10:00 a.m. to 4:00 p.m. August 4, 1997
	8:00 a.m. to 4:00 p.m. August 5 through 7, 1997
	8:00 a.m. to 11:30 a.m. August 8, 1997
Post-audit Conference	1:00 p.m. August 8, 1997 Washington, DC

An Audit Team/Observer meeting will be held each day at 4:00 p.m. to review audit progress. Beginning on Tuesday, August 5, 1997, there will also be a daily Audit Team

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

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 QARD, DOE/RW-0333P
- OCRWM Quality Implementing Procedures

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 OCRWM's implementing procedures:

Programmatic Elements

- 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
- 16.0 Corrective Action
- 17.0 Quality Assurance Records
- 18.0 Audits
- Supplement I, Software
- Supplement V, Control of the Electronic Management of Data
- Appendix A, High Level Waste Form Production
- Appendix B, Storage and Transportation

The following QA program elements were also considered during development of this audit plan and found not to be applicable, since OCRWM 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 Process
 - 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 III, Scientific Investigation
Supplement IV, Field Surveying
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

Donald J. Harris, OQA, Las Vegas, Nevada, ATL
Kenneth O. Gilkerson, OQA, Las Vegas, Nevada, Auditor
Gary D. Wood, OQA, Washington, DC, Auditor

6.0 AUDIT CHECKLIST

The following checklist will be used during the audit:

OCRWM-ARC-97-23-01, Programmatic Checklist