

QA:L

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT

QUALITY ASSURANCE AUDIT PLAN

FOR

AUDIT LBNL-ARC-98-05

OF THE

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

AT

LAWRENCE BERKELEY NATIONAL LABORATORY

**BERKELEY, CALIFORNIA
JANUARY 12 THROUGH 16, 1998**

Prepared by: Stephen D. Harris Date: 11/11/97

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Office of Quality Assurance

Approved by: R. W. Horton Date: 11/13/97

for Donald G. Horton
Director
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ENCLOSURE

SCOPE

This full scope 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 Civilian Radioactive Waste Management System Management and Operating Contractor's (CRWMS-M&O) implementation of the 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.

0.0 AUDIT SCHEDULE

Pre-Audit Team/Observer Meeting	8:30 a.m. January 12, 1998 Berkeley, California
Pre-Audit Conference	9:30 a.m. January 12, 1998 Berkeley, California
Audit Activities	10:00 a.m. January 12, 1998
	8:00 a.m. to 4:00 p.m. January 13-15, 1997
	8:00 a.m. to 11:30 a.m. January 16, 1998
Post-Audit Conference	1:00 p.m. January 16, 1998 Berkeley, California

An Audit Team/Observer meeting will be held at 4:00 p.m. daily to review audit progress. Beginning Tuesday, January 13, 1998, there will also be a daily Audit Team Leader (ATL)/Observer/LBNL 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 a location to be provided by LBNL.

1.0 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 QA 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

Stephen D. Harris, OQA, Las Vegas, Nevada, Audit Team Leader
Kristi A. Hodges, OQA, Las Vegas, Nevada, Auditor
James C. Mattimoe, OQA, Las Vegas, Nevada, Auditor
Edward P. Opelski, OQA, Las Vegas, Nevada, Auditor

6.0 AUDIT CHECKLIST

The following checklist will be used during the audit:

LBNL-ARC-98-05-01, Programmatic Checklist