

AUDITING

QUALITY ASSURANCE PROCEDURE QP-05
NUCLEAR WASTE MANAGEMENT PROJECT QUALITY ASSURANCE PROGRAM
U.S. Geological Survey

Effective Date June 15, 1984

UNCONTROLLED

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REVISED BY

9 January 1984
DATE

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1/24/84
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Auditing

1.0 PURPOSE

The purpose of this procedure is to describe requirements for audits of project activities, systems, and products in order to verify their adherence to quality assurance requirements.

2.0 SCOPE

This procedure applies to all work performed by the USGS on the nuclear waste management program and to that performed by USGS contractors. It does not apply to pre-award surveys of suppliers or contractors.

3.0 PROCEDURE

3.1 Audits shall be performed throughout the life of each task or project at times which will provide an objective assessment of the effectiveness of project work activities, procedures, inspections, tests, process controls, and documentation.

3.2 The Quality Assurance organization shall be responsible for developing and maintaining an audit schedule. The schedule shall include, as a minimum, yearly audits of work performed by the USGS on the nuclear waste management program and work by USGS contractors who are required to work in accordance with a quality assurance program. Additional audits may be specified when necessary to provide adequate coverage.

3.2.1 The audit schedule shall include, as a minimum:

- a) Every task, project, or item under quality assurance jurisdiction.
- b) The designated Lead Auditor
- c) The scope of each planned audit
- d) The tentative month of the audit

3.2.2 The Los Alamos QA Audit Supervisor shall update and distribute the audit schedule on a quarterly basis. Distribution shall include the appropriate levels of management.

3.3 The Los Alamos MST-9 Group Leader with the assistance of the Audit Supervisor and the Lead Auditor shall assign qualified personnel to the audit team who are familiar with project work activities, procedures, standards, and processes. An audit

team leader shall be designated who is qualified in accordance with the latest edition of ANSI/ASME NQA-1 and who will assure that the audit team has the independence to perform an objective evaluation. All members of the audit team shall be qualified in accordance with NQA-1.

- 3.4 The audit team leader shall prepare an audit plan which shall be sent to the appropriate level of management of the area being audited as a notice of audit. Audit plans shall identify the audit, purpose and scope, authority for the audit, base requirement for the audit, names of the auditors and schedule for the audit.
- 3.5 The audit team leader shall be responsible for the preparation of detailed audit checklists. The checklists shall be used as guidelines for conducting the audit and shall assure adequate depth and continuity.
- 3.6 An audit team meeting shall be conducted to provide orientation on the audit plan, the requirements to be audited, suggested approaches for conducting the audit, and a review of any previous audits in the area.
- 3.7 A pre-audit meeting with technical management shall be held. Objectives of the audit shall be reviewed and a detailed schedule for the audit shall be established.
- 3.8 The audit team shall conduct audits in accordance with applicable plans, schedules, and checklists. Project work activities, procedures, inspections, tests, process controls, and documentation shall be examined for compliance with project quality requirements.
- 3.9 Audit deficiencies shall be recorded by the audit team on Audit Finding Reports (Attachment 1) or Audit Observation Reports (Attachment 2) at the conclusion of the audit. The audit checklists and associated notes shall be the basis for these reports, shall provide recorded details of the audit, and shall be filed as support for the audit report.
- 3.10 A post-audit meeting shall be scheduled as soon after the audit as feasible. All audit findings shall be discussed with the responsible management and a corrective action response date shall be agreed to at this time.

- 3.11 The audit team leader shall be responsible for the preparation of a written audit report.
- 3.11.1 The audit report shall include, as a minimum:
- a. Audit report number
 - b. Purpose of the audit
 - c. The scope of the audit
 - d. List of checklists used
 - e. Names of auditors
 - f. Personnel contacted
 - g. Conclusions drawn from the audit
 - h. The Audit Finding Reports and Audit Observation Reports.
- 3.11.2 The audit report shall be submitted by the audit team leader and approved by the Quality Assurance Group Leader.
- 3.11.3 A copy of the audit report shall be sent to the appropriate levels of management of the audited organization, persons or organizations having corrective action responsibilities identified in Audit Finding Reports, and the Quality Assurance Group Leader.
- 3.11.4 The quality assurance organization shall file and maintain the signed original copy of all documentation, including the Audit Finding Reports and the Audit Observation Reports. These will be available to others as required by contract.
- 3.12 Technical management shall provide the quality assurance office with a corrective action statement for each audit finding within the allotted time period recorded on the Audit Finding Report. The quality assurance organization shall review and approve the corrective action described on the Audit Finding Report. The review shall include the evaluation of the effectiveness of corrective action to be taken and shall assess the need for revision of the quality system.
- 3.12.1 Problems encountered in obtaining corrective action responses or in the implementation of corrective action shall be reported to the appropriate level

of management to assure the performance of these activities is accomplished.

- 3.13 Implementation of the necessary corrective action shall be the responsibility of the audited organization. Corrective action shall be verified by the audit team leader, by quality assurance surveillance, or by reaudit. This verification shall be recorded on the Audit Finding Report.
- 3.14 The Los Alamos QA Audit Supervisor shall be responsible for the preparation of a periodic audit trend analysis and for distribution of the analysis to the appropriate levels of management.

AUDIT OBSERVATION REPORT

Audit No. _____

Date _____

Audited Organization _____

Auditors _____

Observation No. _____; This observation does not require formal response, but should be considered by the audited organization.

Discussion

Technical Management

Date

Audit Team Leader

Date