

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT

QUALITY ASSURANCE AUDIT PLAN

FOR AUDIT YM-ARP-95-09

OF

UNITED STATES GEOLOGICAL SURVEY

DENVER, COLORADO

MAY 8 THROUGH 12, 1995

Prepared by: Donald J. Harris Date: April 4, 1995
Donald J. Harris
Audit Team Leader
Yucca Mountain Quality Assurance Division

Approved by: Donald G. Horton Date: 4/5/95
Donald G. Horton
Director
Office of Quality Assurance

1.0 SCOPE

This performance based audit of the United States Geological Survey (USGS) is a limited scope audit to be performed by a team of auditors from Yucca Mountain Quality Assurance Division (YMQAD). The audit team will evaluate the effectiveness of selected processes, and the quality of the resultant end products identified in Section 4.0 of this plan associated with USGS activities performed under Quality Assurance (QA) program elements: 2.0 QA Program (Training), 4.0 Procurement Document Control, 7.0 Control of Purchased Items and Services, 16.0 Corrective Action, and 18.0 Audits

2.0 AUDIT SCHEDULE

Pre-audit Team/Observer Meeting	8:00 a.m., May 8, 1995 Denver, Colorado
Pre-audit Conference	9:00 a.m., May 8, 1995 Denver, Colorado
Audit Activities	10:00 a.m. to 4:00 p.m. May 8, 1995
	8:00 a.m. to 4:00 p.m. May 9 through 11, 1995
	8:00 a.m. to 11:30 a.m. May 12, 1995
Post-audit conference	1:00 p.m., May 12, 1995

An Audit Team/Observer meeting at 4:00 p.m. and Audit Team Leader (ATL) Observer/USGS management meeting at 8:15 a.m. will be held daily to communicate audit progress and to discuss potential deficiencies and establish needed liaison.

3.0 REQUIREMENTS TO BE AUDITED AND APPLICABLE REFERENCES

The requirements to be audited will be contained in a performance based checklist. This checklist will be developed from the latest available revision of USGS's approved and issued QA Program procedures applicable to selected activities agreed upon with the USGS management.

The conduct of the audit will be in accordance with the documents (latest revision) listed below:

- YMP-USGS-QMP 2.07, Training
- YMP-USGS-QMP 4.01, Procurement Document Control
- YMP-USGS-QMP 4.02, Control of Agreements
- YMP-USGS-QMP 7.01, Receipt of Purchased Items and/or Services
- YMP-USGS-QMP 16.01, Corrective Action
- YMP-USGS-QMP 18.01, Audits

The conduct of the audit will be guided by the documents (latest revision) listed below:

- Quality Assurance Procedure (QAP) 18.2, "Audit Program"
- QAP 16.1, "Corrective Action"

4.0 ACTIVITIES TO BE AUDITED

The audit team will evaluate the products resulting from the procurement process and associated activities that have been selected for a performance based audit, which would evaluate the products and activities to determine the degree to which they meet the critical process steps of the program, management commitments, and expectations.

This evaluation of process effectiveness and product acceptability will be based upon:

1. Satisfactory implementation of the critical process steps;
2. Use of trained and qualified personnel working effectively;
3. Documentation that substantiates quality of the products;
4. Acceptable results and adequate end products; and
5. Effectiveness of Corrective Action.

5.0 AUDIT TEAM MEMBERS

Donald J. Harris, YMQAD, Las Vegas, NV, ATL
Kenneth O. Gilkerson, YMQAD, Las Vegas, NV, Auditor
James Blaylock, YMQAD, Las Vegas, NV, Auditor

6.0 AUDIT CHECKLIST

The following checklist will be used during the audit:

YM-ARP-95-09, Performance Based Checklist