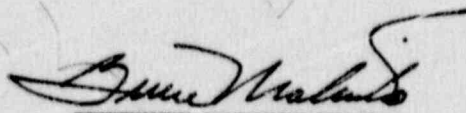


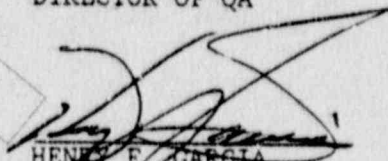
DRAFT REPORT ON THE UNITED STATES GEOLOGICAL SURVEY  
AUDIT OBSERVATION TEAM WORK AUGUST 14-23, 1989

APPROVED BY:



BRUCE MABRITO  
DIRECTOR OF QA

8/29/89  
DATE



HENRY F. GARCIA  
DIRECTOR OF  
ADMINISTRATION

8/29/89  
DATE

YMP AUDIT 89-04: USGS

AUDIT OBSERVER REPORT - ROBERT D. BRIENT - CNWRA

As part of the NRC audit observation team, this observer reviewed the following auditor and audit element activities:

AUDITORS

AUDIT ELEMENTS

Fred Ruth            Criterion 4: Procurement Document Control

Jim Clark            Criteria 6 & 17: Document Control, QA Records

John Friend         Criteria 16 & 18: Corrective Action, Audits  
(Catherine Hampton-Auditor in Training)

Dan Klimas          Criterion 13: Handling, Storage, and Shipping

Rose Klimist        Criterion 13: Handling, Storage, and Shipping

Sid Crawford        Criteria 3 & 8: Design Control, Identification  
and Control of Items

Neil Cox            Criterion 12: Control of Measuring and Test  
Equipment

(Mario Diaz-Auditor in Training)

Auditors Ruth, Clark, Friend, and Crawford and Criteria 4,6,8,16,17 and 18 were observed sufficiently to determine the effectiveness of the audit and adequacy of the USGS QA program for these criteria.

The auditors observed were considered to be effective. Written checklists, based on NNWSI 88-9, Revision 2, and corresponding USGS requirements, were utilized and completed by the auditors. Checklists were used as starting points from which to conduct thorough evaluations. Since ongoing activities are limited, little objective evidence was available to determine the effectiveness of implementation. The evaluation of the adequacy of controls appeared sufficient.

The auditors observed appeared to be knowledgeable of QA program requirements, and were effective in identifying deficiencies which were supported by adequate objective evidence. The Audit Team Leader conducted pre- and post-audit conferences, daily caucuses and USGS review meetings. The daily caucus meetings were effective in providing a forum for discussion of potential findings and for redirecting the audit when necessary.

The USGS activities which were reviewed by this observer appeared to be adequate to control quality related activities. USGS and USGS contractor personnel, (SAIC) both QA and technical, seemed to be committed to an effective QA program, knowledgeable of QA requirements, and extremely eager to resolve potential findings through corrective action during the course of the audit.

Two areas of possible concern are corrective action and audits (surveillance). If USGS is permitted to begin more quality related activities, the uncertainties of implementation should be addressed by an aggressive surveillance and corrective action program. Audit 89-04 revealed that corrective action has been a very lengthy process and so far, surveillance of operational activities have not been planned.

The following comments are provided as possible improvements to the audit process:

1. In order to evaluate technical capabilities, technical products, and implementation of QA program requirements, QA auditors should accompany audit technical specialists during the audit of technical activities.

2. Implementation of certain control elements, such as distribution of controlled documents, is most effectively audited by verifying

compliance at the point of use. This is logistically difficult when the Document Control criterion is assigned to a single auditor, and could be better accomplished by including such elements on the checklist for each quality and technical criterion.

*Handwritten:*  
K. S. Smith  
8/25/89

DRAFT