



Allen, Pam, NMENV

From: Maestas, Ricardo, NMENV
Sent: Tuesday, January 20, 2015 4:14 PM
To: Allen, Pam, NMENV
Subject: FW: Interim Status Report-QA Audit SNL-CO
Attachments: SNL QA Interim Status Report 2014-6-3.doc

Email and attachment.

From: Kliphuis, Trais, NMENV
Sent: Tuesday, June 03, 2014 11:45 AM
To: Maestas, Ricardo, NMENV; Smith, Coleman, NMENV; Holmes, Steve, NMENV
Subject: FW: Interim Status Report-QA Audit SNL-CO

From: Bender, Lindsey [<mailto:Bender.Lindsey@epa.gov>]
Sent: Tuesday, June 03, 2014 11:43 AM
To: Shoemaker, Paul - SNL; Safley, Eugene; Davis, Steve
Cc: Brown, Mike - DOE; Miehl, Dennis - DOE; Kliphuis, Trais, NMENV; Stone, Nick; Harris, Alton; Patrick Kelly; Kira Darlow; Feltcorn, Ed
Subject: Interim Status Report-QA Audit SNL-CO

Paul, Gene & Steve,

Attached is the Interim Status Report of the remote QA audit of Sandia National Laboratory-Carlsbad Office. We will give you a heads up on what we want to look at in July. Thank you for your assistance.

Lindsey Bender

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EPA AUDIT OF THE SANDIA NATIONAL LABORATORY-CARLSBAD OFFICE QUALITY ASSURANCE PROGRAM

INTERIM STATUS REPORT

On May 1, 2014, the U.S. Environmental Protection Agency (EPA) began a two-part audit of the Sandia National Laboratory-Carlsbad Office (SNL-CO). From May 1–29, 2014, EPA conducted a remote records review of the SNL-CO quality assurance (QA) program relative the requirements of American Society of Mechanical Engineers (ASME) Nuclear Quality Assurance (NQA) Standard NQA-1-1989,¹ “Quality Assurance Program Requirements for Nuclear Facilities,” Elements 1–18, as applicable to the SNL-CO QA program. EPA will conduct the second part of this audit during the week of July 21, 2014, on site at the SNL-CO and/or Carlsbad Field Office in Carlsbad, New Mexico. EPA conducted a portion of this audit remotely to reduce the travel for the audit team and the disruption to all parties, and to maximize the audit process’s efficiency.

Based on documents and copies of records that SNL-CO provided, EPA evaluated implementation of the following requirements in ASME NQA-1-1989:

- Element 1, “Organization.”
- Element 2, “Quality Assurance Program.”
- Element 4, “Procurement Document Control.”
- Element 5, “Instruction, Procedures and Drawings.”
- Element 6, “Document Control.”
- Element 7, “Control of Purchased Items and Services.”
- Element 8, “Identification and Control of Items.”
- Element 9, “Control of Processes.”
- Element 10, “Inspection.”
- Element 11, “Test Control.”
- Element 12, “Control of Measuring and Test Equipment.”
- Element 13, “Handling, Storage, and Shipping.”
- Element 14, “Inspection, Test, and Operating Status.”
- Element 15, “Control of Nonconforming Items.”
- Element 16, “Corrective Action.”
- Element 17, “QA Records.”
- Element 18, “Audits.”

EPA began completing NQA-1-1989 checklists for the elements listed above to the extent possible, based on the provided documents and without conducting face-to-face personnel interviews or direct observation of any physical records.

At this stage in the audit, EPA has not identified any nonconformances in SNL-CO’s QA program relative to the requirements of ASME NQA-1-1989. During the onsite audit portion,

¹ 40 CFR 194.22(a)(1) states that DOE’s QA program shall comply with the requirements of the 1989 version of the ASME NQA-1 standard.

EPA will review and discuss any outstanding checklist items. Such items are primarily in the areas of Elements 4 and 7 (procurement) and Element 12 (control of measuring and test equipment).

EPA will hold a close-out meeting for the whole two-part audit in Carlsbad on July 24, 2014. EPA will complete one set of checklists for all applicable NQA-1-1989 elements and issue one audit report based on the results of both the remote record review and the onsite audit activities.

EPA will provide SNL-CO with detailed information regarding the scope and logistics of the onsite audit prior to July 21, 2014.