

United States Government

Department of Energy

Albuquerque Operations Office

memorandum

Handwritten initials and date: 8/13/97

DATE: 08/06/97
REPLY TO:
ATTN OF: OMD:OSB:BS

SUBJECT: Notice of the Quality Assurance Audit of the Carlsbad Area Office (CAO) [CAO Internal Audit -- CAO A-97-15]

TO: George Dials, CAO Manager

The subject CAO Quality Assurance (QA) Audit will be conducted August 26 - 29, 1997. The audit team will be led by DOE/AL Operations Management Division. The audit team will determine the adequacy of activities conducted under the CAO QA program. The audit will also review the status of previous findings, recommendations, and observations on the CAO QA program. Evaluation criteria will be taken from DOE Order 5700.6C, 40 CFR 194, and the CAO QA Program Document. This QA audit was requested by CAO to fulfill their internal requirements.

The attached audit plan provides specific details for this review. A tentative schedule of interviews and other activities will be developed by team members before the audit. We request that CAO provide the team:

- Meeting rooms -- Pre Audit, Post Audit, and Daily Management Briefings
- Work area
- List of contacts for team members before the audit
- Phone access
- PC with a printer and MS Word
- A projector to use with an IBM PC for a Power Point presentation

Please contact Ben Snow at (505) 845-6929 if you have questions with this planned audit.

Handwritten signature: Deborah Christensen

Daniel G. Pellegrino
Acting Branch Chief
Operational Surety Program Branch

cc w/attachment:
D. Brown, CAO
H. Frank, CAO, MS-CTAC
A. Goss, EASI
G. Pugh, OMD
J. May, CAO, MS-CTAC

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AUDIT PLAN

Audit Number: CAO A-97-15

Audited Organization: DOE Carlsbad Area Office (CAO) including supporting organizations

Auditing Organization: DOE Albuquerque Operations Office, Operations Management Division (OMD)

Dates and Location of Audit: August 26-29, 1997, Carlsbad, New Mexico

Audit Team:

1. Ben Snow, DOE/AL OMD, Team Leader
2. Myrna Goss, EASI, Auditor (CQA)
3. Robert Stoneking, BDM, Auditor
4. Gabe Pugh, DOE/AL OMD, Auditor Trainee
5. Hector Chavez, DOE/AAO, Auditor

Audit Scope:

The audit team will review the adequacy, implementation, and effectiveness of the CAO Quality Assurance (QA) program. The audit will also review the status of previous findings, recommendations, and observations on the CAO QA program.

Activities/Contracts/Tasks to be audited:

These are the specific areas the audit team will examine:

- The adequacy of CAO QA program implementation including the CAO QA Program Document (QAPD) and implementing procedures (MP 1.1 -- MP 10.5)
- The effectiveness of the CAO QA program
- The status of findings/recommendations/observations during the CAO 1996 audit: A-96-10/EM-36. CAR 96-073 and CAR 96-074 were written during this audit.
- The status of findings/recommendations/observations during the CAO 1996 surveillance: CAO-SR-96-28. CAR 96-061 was written during this surveillance.

Governing Documents/Requirements/Criteria to audit and checklist identification:

Governing Documents

- DOE Order 5700.6C
- 40 CFR 194
- CAO QAPD, revision 1, dated April 1996

Requirements

The team will use these procedures to conduct the audit:

- MP 3.1, Corrective Action Reporting
- MP 10.1, Qualification and Certification of Audit personnel
- MP 10.3, Audits

Criteria to Audit and Checklist Identification

Checklists will be based upon the CAO QAPD and implementing procedures (MP 1.1 - MP 10.5)

Pre-Audit Conference date, time, and location: August 26, 1997, 9:00 am

- ◊ Audit Team Leader -- Opening remarks
- ◊ CAO/WIPP -- Short briefing on WIPP overview and project status
- ◊ CAO -- Briefing on current CAO structure
- ◊ Audit team finalizes interview schedules

Daily Audit Briefings with CAO Management: August 27-29, 1997, 8:00 am

Post-Audit Conference date, time, and location: August 29, 1997, 10:00 am

Prepared by: Ben Snow Ben Snow, Audit Team Leader, DOE/AL OMD
 Date: 7/25/97

Concurrence: Delores Christensen Dan Pellegrino, Acting Branch Chief, DOE/AL OMD
 Date: 8/7/97