

Sample Checklist

Audit Report No. _____

License No. _____

Licensee's name and mailing address:

Audit of activities at (Address):

Contact at Audit Location _____

Telephone No. _____

Date of this Audit _____

Summary of Findings and Action:

- No deficiencies
- Deficiencies
- Action on previous deficiencies

Recommendations:

Auditor _____

Date _____

(Signature)

1. AUDIT HISTORY N/A (N/A means “Not applicable” – Initial Audit)

A. Last audit of this location conducted _____

B. Problems/deficiencies identified during last two audits or two years, whichever is longer

Y N

C. Open problems/deficiencies from previous audits:

Status Requirement	Prob./Def.	Corrective Action Taken (Y/N)	Open/Closed
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

D. Any previous problem/deficiency not corrected or repeated Yes No N/A

Explain:

2. ORGANIZATION AND SCOPE OF PROGRAM

A. Briefly describe organizational structure and note any personnel changes.

1. Structure is as described in license documents? Yes No

2. Multiple authorized locations of use? Yes No

3. Briefly describe scope of activities involving licensed material, frequency of use, staff size, etc.

B. Radiation Safety Officer Yes No

1. Authorized on license Yes No

2. Fulfills duties as RSO Yes No

C. Use only by authorized individuals Yes No

Remarks:

3. TRAINING, RETRAINING, AND INSTRUCTIONS TO WORKERS

- A. Instructions to workers per [10 CFR 19.10] Yes No
- B. Training program required Yes No
- C. Training records maintained Yes No
- D. Evaluation of individuals' understanding of procedures and regulations based on interviews, observation of selected workers Yes No
 - 1. Each has an up-to-date copy of the licensee's safe use and emergency procedures Yes No
 - 2. Adequate understanding of:
 - a. Current safe use procedures Yes No
 - b. Emergency procedures Yes No
- E. Revised Part 20, Workers cognizant of requirements for:
 - 1. Radiation Safety Program [20.1101] Yes No
 - 2. Annual dose limits [20.1301, 20.1302] Yes No
 - 3. New NRC Forms 4 and 5 Yes No
 - 4. 10% monitoring threshold [20.1502] Yes No
 - 5. Dose limits to embryo/fetus and declared pregnant women [20.1208] Yes No
 - 6. Procedures for opening packages [20.1906] Yes No

Remarks:

4. INTERNAL AUDITS, REVIEWS OR INSPECTIONS

- A. Audits are conducted Yes No
 - 1. Audits conducted by _____
 - 2. Frequency _____
- B. Content and implementation of the radiation protection program reviewed [20.1101(c)] annually
 Yes No
- C. Records maintained [20.2102] Yes No

5. FACILITIES

Facilities as described in license application

 Yes No

Remarks:

6. MATERIALS

Isotopes, quantities, and use as authorized on license

 Yes No

Remarks:

7. LEAK TESTS

A. Leak test performed as described in correspondence with NRC (consultant; test kit; licensee performed)

leak
 Yes No

B. Frequency: every 6 months or other interval, as approved by NRC or State

Agreement
 Yes No

C. Records with appropriate information maintained

 Yes No

Remarks:

8. INVENTORIES

A. Conducted at 6-month intervals

 Yes No

B. Records with appropriate information maintained

 Yes No

Remarks:

9. RADIATION SURVEYS

A. Instruments and Equipment:

 Yes No

1. Appropriate operable survey instrumentation possessed or readily available

 Yes No

2. Calibrated as required [20.1501]

 Yes No

3. Calibration records maintained [20.2103(a)]

 Yes No

B. Briefly describe survey requirements [20.1501(a)]:

APPENDIX G

- C. Performed as required [20.1501(a)] Yes No
1. Radiation levels within regulatory limits Yes No
2. Corrective action taken and documented Yes No
- D. Records maintained [20.2103] Yes No
- E. Protection of members of the public
1. Adequate surveys made to demonstrate either (a) that the TEDE to individual likely to receive the highest dose does not exceed in a year, or (b) that if an individual were continuously unrestricted area, the external dose would not exceed hour and 50 mrem in a year [20.1301(a)(1), 1302(b)] Yes No
2. Unrestricted area radiation levels do not exceed 2 mrem in any one hour [20.1301(a)(2)] Yes No
3. Records maintained [20.2103, 2107] Yes No

Remarks:

10. RECEIPT AND TRANSFER OF RADIOACTIVE MATERIAL (INCLUDES WASTE DISPOSAL)

- A. Describe how packages are received and by whom:
- B. Written package opening procedures established and followed [20.1906(e)] Yes No
- C. If package shows evidence of degradation, monitor for radiation levels Yes No N/A
- D. Monitoring of degraded packages performed within time [20.1906(c)] Yes No N/A
- E. Transfer(s) between licensees (including “disposal”) performed 70.36 and 70.42 Yes No N/A
- F. Records of receipt/transfer maintained [20.2103(a), 70.51(b)(1)] Yes No
- G. Transfers within licensee’s authorized users or locations required [L/C] Yes No N/A

H. Package receipt/distribution activities evaluated for compliance
20.1301 [20.1302]

with
 Yes No N/A

Remarks:

11. TRANSPORTATION (10 CFR 71.5(a) and 49 CFR 170-189)

N/A

A. Licensee shipments are:

- 1. Delivered to common carriers Yes No N/A
- 2. Transported in licensee's own private vehicle Yes No N/A
- 3. No shipments since last audit Yes No N/A

B. Packages

N/A

- 1. Authorized packages used [173.415, 416(b)] Yes No N/A
- 2. Closed and sealed during transport [173.475(f)] Yes No

C. Shipping Papers

N/A

- 1. Prepared and used [172.200(a)] Yes No
- 2. Proper {Shipping name, Hazard Class, UN Number, Quantity, Type, Nuclide, RQ, Radioactive Material, Physical and Activity, Category of label, TI, Shipper's Name, Emergency Response Phone Number, [172.200-204] Package Chemical Form, Certification and Signature, "Cargo Aircraft Only" (if applicable)} Yes No

- 3. Readily accessible during transport [177.718(e)] Yes No

D. Vehicles

Yes No

- 1. Cargo blocked and braced [177.842(d)] Yes No
- 2. Placarded, if needed [172.504] Yes No
- 3. Proper overpacks, if used (shipping name, UN Number, labeled, indicating that inner package complies with specification statement package) Yes No

E. Any incidents reported to DOT [171.15, 16]

Yes No

Remarks:

12. PERSONNEL RADIATION PROTECTION

- A. ALARA considerations are incorporated into the Radiation Protection Program [20.1101(b)] Yes No
- B. Adequate documentation of determination that unmonitored individuals are not likely to receive >10% of occupationally allowable limits [20.1502(a)] Yes No N/A
- OR
- C. External dosimetry provided and required Yes No N/A
1. Supplier _____ Frequency _____
2. Supplier is NVLAP-approved [20.1501(c)] Yes No
3. Dosimeters exchanged at required frequency [L/C] Yes No
- D. Occupational intake monitored and assessed [20.1502(b)] Yes No N/A
- E. Reports N/A
1. Reviewed by _____ Frequency _____
2. Auditor reviewed personnel monitoring records for period _____ to _____
3. Prior dose determined for individuals likely to receive doses [20.2104] Yes No
4. Maximum exposures TEDE _____ Other _____
5. NRC Forms or equivalent [20.2104(d), 2106(c)]
- a. NRC Form 4 "Cumulative Occupational Exposure History" Yes No
Complete: Yes No
- b. NRC Form 5 "Occupational Exposure Record for a Monitoring Period" Yes No
Complete: Yes No
6. Worker declared her pregnancy in writing during inspection period (review records) Yes No N/A
If yes, determine compliance with [20.1208] Yes No
Check for records per [20.2106(e)] Yes No
- F. Records of exposures, surveys, monitoring, and evaluations maintained [20.2102, 2103, 2106, L/C] Yes No

Remarks:

13. AUDITOR'S INDEPENDENT MEASUREMENTS (IF MADE)

- | A. Survey instrument | Serial No. | Last calibration |
|----------------------|------------|------------------|
| | | |
| | | |
- B. Auditor's measurements compared to licensee's Yes No
- C. Describe the type, location, and results of measurements:

14. NOTIFICATION AND REPORTS N/A

- A. Licensee in compliance with [19.13, 70.50] (reports to public and occupational, monitored to show individuals, compliance with Part 20) Yes No N/A
- B. Licensee in compliance with [20.2201, 70.50] (theft or loss) Yes No None
- C. Licensee in compliance with [20.2202, 70.50] (incidents) Yes No None
- D. Licensee in compliance with [20.2203, 70.50] (overexposures and high radiation levels) Yes No None
- E. Licensee aware of telephone number for NRC Emergency Center [(301) 816-5100] Operations Yes No

15. POSTING AND LABELING

- A. NRC Form 3 "Notice to Workers" is posted [19.11] Yes No
- B. Parts 19, 20, 21, Section 206 of Energy Reorganization Act, procedures pursuant to Part 21, and license documents are posted, or a where documents can be examined is posted [19.11, 21.6] adopted notice indicating Yes No
- C. Other posting and labeling per [20.1902, 1904] and the license is not [20.1903, 1905] exempted by Yes No

Remarks:

16. RECORDKEEPING FOR DECOMMISSIONING

- A. Records of information important to the safe and effective decommissioning of the facility maintained in an independent and identifiable location until license termination Yes No
- B. Records include all information outlined in [70.25(g)] Yes No

Remarks:

17. BULLETINS AND INFORMATION NOTICES

- A. Receipt of NRC Bulletins, NRC Information Notices, NMSS newsletters, etc. Yes No
- B. Appropriate action taken in response to Bulletins, Information notices, etc. Yes No

Remarks:

18. SPECIAL LICENSE CONDITIONS OR ISSUES N/A

- A. Review special issue conditions or other issues, and describe findings:
- B. Problems/deficiencies identified at licensee facilities other than at audit location:
- C. Evaluation of compliance:

19. CONTINUATION OF REPORT ITEMS N/A

(If more space is needed, use separate sheets and attach to report.)

20. PROBLEMS OR DEFICIENCIES NOTED; RECOMMENDATIONS N/A

Note: Briefly state (1) the requirement and (2) how and when violated. Provide recommendations for improvement.

21. EVALUATION OF OTHER FACTORS

A. Senior licensee management is appropriately involved with the radiation program and/or RSO oversight

safety
 Yes No

B. RSO has sufficient time to perform his/her radiation safety duties and is busy with other assignments

not too
 Yes No

C. Licensee has sufficient staff

Yes No

Remarks/recommendations: