

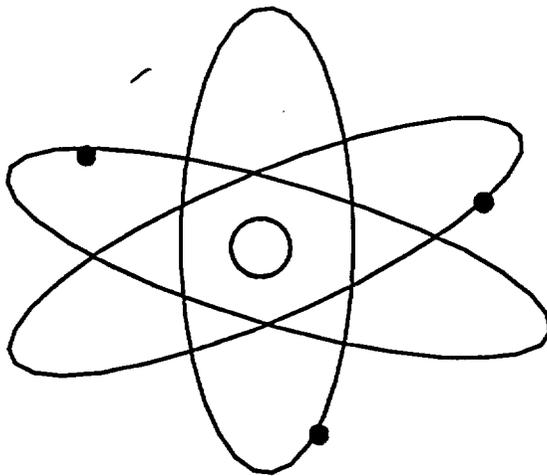
*rec'd with letter dated
4/19/93
Ken Hooks*

OFFICE OF CIVILIAN RADIOACTIVE
WASTE MANAGEMENT (OCRWM)

AUDIT HQ-93-05

of

OCRWM Headquarters Activities



Washington, DC

May 10, 1993
through
May 13, 1993

102.7

Ken Hooks

9307190060 930419
PDR WASTE PDR
WM-11

OCRWM AUDIT HQ-93-05

Applicable Criteria: 3, 4, 7 and 19.

Objective: Performance-based to the maximum extent possible.

Problem: OCRWM HQ processes and products have or are being delegated to the M&O (i.e., future revisions to the various SRDs and the initial Transportation SRD, Multi-Purpose Canisters (MPCs), and Initiative I From-Reactor Casks are being developed under the M&O's QA Program).

Whereas OCRWM HQ has previously assumed a more pro-active role in the development of "end products", a management & overview role is phasing in.

Potential "Products" and "Processes" to include in audit scope:

Criterion 3

Waste Acceptance Requirements Document - quality of product and process (this would lead into scheduled surveillance of the EM WAPS and flowdown into the DWPF WCP).

Criteria 4 & 7

PGLs for Initiative I Casks (this would lead into scheduled audits of GA and B&W cask contractors).

PGL for ORNL Validation & Verification of ORIGEN2.

Work Authorization Directives (WADs) related to the M&O.

M&O Contract for Systems Engineering Management and Integration (overview only).

Evaluate use and adequacy of transportation and ORIGEN2 holdpoints.

Criterion 19

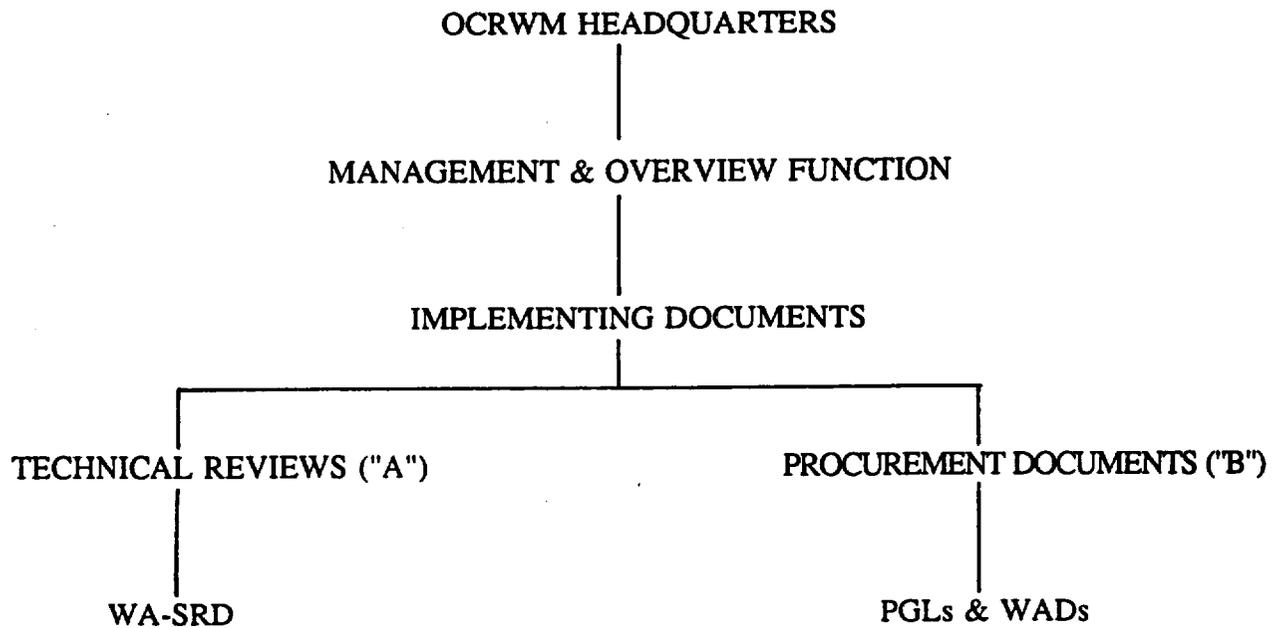
No activity at OCRWM Headquarters.

Additional "Clean-up" Items:

Verify corrective action for CAR HQ-92-017 to support closure.

OCRWM AUDIT HQ-93-05

PERFORMANCE-BASED ASSIGNMENTS



Applicable QA Program Elements: 3, 4 and 7

HQ-93-05 AUDIT TEAM ASSIGNMENTS

Audit Team Leader: Tom Rodgers, CER

<u>Teams</u>	<u>Individuals</u>	<u>Process*</u>	<u>Implementing Documents</u>
"A"	Robert Howard Richard Maudlin Trieu Troung (<i>RW 327</i>) <i>Tech Specialist</i>	WA-SRD	QAPs 3.5 & 6.2 TDPP
"B"	Fred Bearham, CER Hugh Lentz, CER	PGLs & WADs	QAAP 7.1

* Criteria covered by the audit: 3, 4, 7 and 19

OCRWM AUDIT HQ-93-05

RW POINTS OF CONTACT (INTERFACES)

RW-30

Waste Acceptance System Requirements Document (WASRD) - Steve Gomberg (6-6497)

RW-40

Initiative I From-Reactor Casks - Jim Carlson (6-5321) and Bill Lake (6-2840)

RW-50

Program Guidance Letters (PGLs) - Judy Leahy (6-1248)

Work Authorization Directives (WADs) - Trudy Wood (6-5625)

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SHEET 1 OF 6
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NO. HQ-93-05

QUALITY ASSURANCE CHECKLIST

ORGANIZATION EVALUATED OCRWM		<input type="checkbox"/> EXTERNAL	<input checked="" type="checkbox"/> AUDIT	PREPARED BY <u>T.E. Rodgers</u> DATE <u>04/16/93</u>
DATES OF EVALUATION May 10-13, 1993		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE <input type="checkbox"/> INSPECTION	
CONTROLLING DOCUMENT (Title, Number, Revision) DOE/RW-0215, Rev. 3, Quality Assurance Program Description			ACTIVITY EVALUATED Design Control	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		RESULTS
1	Verify that design activities are accomplished IAW written procedures. (QAPD Section 3, Para. 3.0)			
2	Determine which offices have been assigned responsibility for implementing procedures. (General)			
3	Determine how technical and quality assurance responsibilities are assigned. (General)			

* INDICATE RESULTS: SATISFACTORY (SAT), UNSATISFACTORY (UNSAT), NOT APPLICABLE (N/A)

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	<p>Verify that the "systems engineering approach" for control and management of Program design activities specifies:</p> <ul style="list-style-type: none">• The engineering process that defines the technical baseline and development of the design to that baseline• The process for integrating the disciplines involved in design development• The documentation required to establish the technical baseline and provide a traceable record of the design and siting process <p>(QAPD Section 3, Para. 3.1.1)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that "requirements documents" have been developed for the overall Program mission and for each Program element (i.e., Waste Acceptance, Transportation, MRS, and MGDS) (QAPD Section 3, Para. 3.1.3)		
6	Verify that "requirements documents" are controlled, reviewed and approved at the level for which they were written, and also approved at the next higher level. (QAPD Section 3, Para. 3.1.3)		
7	Verify that the adequacy and correctness of OCRWM generated technical documents are verified by technical review prior to approval and issuance. (QAPD Section 3, Para. 3.1.6)		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8	Verify that review considerations include inputs and sources, assumptions, prescribed processes where applicable, and compatibility with established Program objectives and approaches. (QAPD Section 3, Para. 3.1.6)		
9	Verify that technical reviews are performed by any competent individual(s) or group(s) other than those who prepared the technical document but who may be from the same organization. (QAPD Section 3, Para. 3.1.6)		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
10	Verify that design verification for Program-element designs is delegated to the responsible design organizations. (QAPD Section 3, Para. 3.1.7)		
11	Verify that changes to OCRWM originated design-related documents, including design input documents, are justified and processed using the same methods applied to the preparation of the original document. (QAPD Section 3, Para. 3.1.8)		
12	Verify that major changes are reviewed and approved by the organizations that reviewed and approved the original design document. (QAPD Section 3, Para. 3.1.8)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
13	Where an organization that was originally responsible for approving the design document is no longer responsible, verify that OCRWM has designated a new responsible organization to review the document changes. (QAPD Section 3, Para. 3.1.8)		
14	Verify that the impact of design changes on procedures and training are evaluated. (QAPD Section 3, Para. 3.1.8)		
15	Determine if any Readiness Reviews or Peer Reviews have been performed since the last audit of OCRWM Headquarters. (General)		

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DATES OF EVALUATION May 10-14, 1993		<input type="checkbox"/> INSPECTION	

CONTROLLING DOCUMENT (Title, Number, Revision) Revision 2, effective 05/18/92 Quality Assurance Procedure (QAP) 3.5, <i>Technical Document Preparation</i>	ACTIVITY EVALUATED Preparation of the Waste Acceptance System Requirements Document (WA-SRD)
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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
P 1	Verify that a Technical Document Preparation Plan (TDPP) is approved and issued to support the preparation of System Requirements Documents. [5.2]		

* INDICATE RESULTS: SATISFACTORY (SAT), UNSATISFACTORY (UNSAT), NOT APPLICABLE (N/A)

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
P 2	Verify that the TDPP contains review criteria. [5.2.b]		
P 3	Verify that the TDPP identifies training requirements. [5.2.c]		
P 4	Verify that the TDPP is issued to the preparers of the technical document. [5.2.d]		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
P 5	Determine what controls are placed on the TDPP to ensure that the latest revision is in use. [N/A]		
P 6	Verify that the preparer evaluates potential inputs identified in the TDPP, determines applicability, and documents rationale for the decision. [5.3.2.a]		
P 7	Verify that the preparer determines whether inputs were developed under QA Program controls commensurate with the technical document. [5.3.2.b]		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
P 8	Verify that the preparer determines those steps necessary to use "unqualified" inputs, as appropriate. [5.3.2.c]		
P 9	Verify that the preparer provides source input evaluation information to the CMB, as appropriate. [5.3.2.d]		
P 10	Verify that the preparer considers the review criteria outlined in the TDPP during development of the technical document. [5.3.3.b]		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
P 11	Verify that "unqualified" inputs are designated with an asterisk on the technical document input listing. [5.3.3.c]		
P 12	Verify that the technical document identifies, describes, and assigns responsibilities for interfaces. [5.3.3.d]		
P 13	Verify that the responsible director initiates and coordinates a Technical Review in accordance with QAP 6.2. [5.5.a]		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
P 14	Verify that the review is assigned to those organizations listed in the TDPP as having responsibility for reviewing the document. [5.5.b]		
P 15	Verify that the review criteria in the TDPP is specified and that additional review criteria is established, as necessary. [5.5.c]		
P 16	Verify that the review package is forwarded to the training organization for use in developing training materials, consistent with training identified in the TDPP. [5.5.d]		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
P 17	Verify that the TDPP is maintained as a QA record. [7.0]		
P 18	Verify that the TDPP reflects the content guidelines for TDPPs. [Attachment 8.2]		

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DATES OF EVALUATION May 10-14, 1993			

CONTROLLING DOCUMENT (Title, Number, Revision) Revision 2, effective 05/18/92 Quality Assurance Procedure (QAP) 6.2, <i>Document Review</i>	ACTIVITY EVALUATED Preparation of the Waste Acceptance System Requirements Document (WA-SRD)
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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
1	Verify that the review coordinator prepares the Document Review Record (DRR) and Comment Sheet consistent with instructions provided. [5.1.a]		

* INDICATE RESULTS: SATISFACTORY (SAT), UNSATISFACTORY (UNSAT), NOT APPLICABLE (N/A)

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify that the review criteria specified is appropriate. [5.1.b]		
3	Verify that the review organizations are identified and that the applicable review criteria are specified for each reviewer. [5.1.c]		
4	Verify that a reasonable review date has been established. [5.1.d]		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that the DRR and Comment Sheet are signed, dated and forwarded to the appropriate reviewing organizations. [5.1.e]		
6	Verify that the document reviewer performs the review using the assigned review criteria. [5.2.a]		
7	Verify that comments are documented on the Comment Sheet and that mandatory comments are appropriately coded. [5.2.b & c]		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
P 8	Verify that the DRR is appropriately signed off and returned to the review coordinator. [5.2.d & e]		
TS 9	Verify that the review coordinator reviews comments, develops responses, and modifies the document as appropriate. [5.3.1.a, b & c]		
P 10	Verify the modified document and copies of all DRRs and Comment Sheets with responses are forwarded to the document reviewers for acceptance. [5.3.1.d]		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
TS 11	Verify that the document reviewers appropriately disposition the responses to their mandatory comments and return the DRRs and Comment Sheets to the review coordinator. [5.3.2.a, b, c & d]		
TS 12	Verify that the review coordinator reviews the returned DRRs and Comment Sheets to ensure all mandatory comments have been accepted and concurrence signatures obtained. [5.3.3.a]		
TS 13	Verify that disputes are adequately resolved. [5.3.3.b, c & d]		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
14	Verify that the review coordinator identifies additional organizations, as appropriate, to encompass all areas of expertise covered in the document subject to review. [6.2.1]		
15	Verify that appropriate review criteria are designated for each reviewing organization. [6.2.2]		
16	Verify that document reviewers have sufficient training, experience, and access to appropriate background information to ensure adequacy of the review. [6.2.3]		

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T/E&E

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
17	Perform a detailed review of the DRRs and Comment Sheets to determine the adequacy and depth of the review. [N/A]		
18	Verify that the completed DRRs and copies of the documents reviewed are collected and maintained as QA records. [7.0]		

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ORGANIZATION EVALUATED OCRWM	<input type="checkbox"/> EXTERNAL	<input checked="" type="checkbox"/> AUDIT	PREPARED BY <u>T. E. Rodgers</u> ^{TER} DATE <u>04/07/93</u>	
DATES OF EVALUATION May 10-14, 1993	<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE <input type="checkbox"/> INSPECTION		
CONTROLLING DOCUMENT (Title, Number, Revision) Revision 0, effective 07/14/92 <i>Technical Document Preparation Plan (TDPP) for the Preparation of Systems Requirements Documents</i>			ACTIVITY EVALUATED Preparation of the Waste Acceptance Systems Requirements Document (WA-SRD)	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED		REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
P 1	Verify format followed for the Requirements Document is consistent with the CRWMS requirements. [3.2]			

* INDICATE RESULTS: SATISFACTORY (SAT), UNSATISFACTORY (UNSAT), NOT APPLICABLE (N/A)

P = Programmatic T/W&E = Training/Education & Experience TS = Technical Specialist

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Review Requirements Allocation Sheets (RAS) for validity and reasonableness. [4.1.3]		
3	Verify that RAS's are maintained as permanent QA records documenting a requirement's source, interpretation and allocation. [4.1.3]		
4	Review Design Constraint Sheets (DCSs) for validity and reasonableness. [4.1.4]		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Review Issue Clarification and Derived Requirements Documentation Forms for validity and reasonableness. [4.1.5]		
6	Review the Issues List for validity and reasonableness. [4.1.6]		
7	Review the Technical Document Input Control Forms for validity and reasonableness. [4.1.7]		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8	Review the Verification Matrices for validity and reasonableness. [4.1.8]		
9	Verify that a System Design Review (SDR) and a System Engineering Branch Review (SEBR) was conducted prior to the QAP 6.2 review. [4.2.1 & 4.2.2]		
10	Review the QAP 6.2 technical review package for completeness and appropriateness. [4.2.3]		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
11	Interview several reviewers to determine the basis and review criteria that they used to perform the review. [N/A]		
12	For item 11 above, are the review criteria used and type of review performed consistent with the reviewer's area of expertise? [N/A]		
13	Verify that all document preparer's and reviewer's have been furnished a copy of the TDPP and that it is contained on their I&T Matrices. [4.3]		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
14	Verify training was conducted to the appropriate OCRWM QA Controls for all document preparers and reviewers. [4.3]		
15	Verify that the TDPP and any revisions thereto, the draft Requirements Document submitted for QAP 6.2 review, and all documentation associated with the review are maintained as QA Records. [4.3.1]		
16	Verify education and experience of document preparers and reviewers in accordance with QAAP 2.2. [4.4]		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
17	Verify QA Indoctrination and Training of document preparers and reviewers in accordance with QAAP 2.1. [4.4]		
18	Verify Education and Experience Verification and Indoctrination and Training forms are included in the QA Records Package. [4.4]		
19	Review the basis for requirements specified as part of the functional analysis for validity and reasonableness. [4.4.1]		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
20	Verify that the M&O Requirements Document Task Team is thoroughly familiar with the applicable primary source documents for the system requirements. [4.4.2]		
21	Verify that copies of referenced Source Documents are maintained and that these copies are the latest versions. [4.4.4]		
22	Verify that a plan exists to qualify those requirements included in the Requirements Document as "unqualified", "to be solved", and "to be determined". [4.4.4]		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
P 23	Determine the status of the Interface Specifications (IFS) Documents for MRS-Transportation, MGDS-MRS, and Waste Acceptance-MRS. [4.4.5]		

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NO. HQ-93-05

QUALITY ASSURANCE CHECKLIST

ORGANIZATION EVALUATED OCRWM	<input type="checkbox"/> EXTERNAL	<input checked="" type="checkbox"/> AUDIT	PREPARED BY <u>F. Bearham</u> <i>JER</i> DATE <u>04/09/93</u>
DATES OF EVALUATION May 10-13, 1993	<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE <input type="checkbox"/> INSPECTION	

CONTROLLING DOCUMENT (Title, Number, Revision) DOE/RW-215, Rev. 3 Quality Assurance Program Description	ACTIVITY EVALUATED Criterion 4 - Procurement Document Control
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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
1	Determine the types of procurement activities that have occurred since last HQ Audit (General) <ul style="list-style-type: none"> • Completed • In-progress 		

* INDICATE RESULTS: SATISFACTORY (SAT), UNSATISFACTORY (UNSAT), NOT APPLICABLE (N/A)

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify procurement documents are being controlled IAW written procedures. (QAPD Section 4, Para. 4.0)		
3	Verify procedures include the following: <ul style="list-style-type: none"> • Process for procurement planning • Method for document preparation, change review, approval and control. • Contents for procurement packages • Responsibilities for implementation • Involvement of quality assurance staff. (QAPD Section 4, Para. 4.0)		
4	Determine which offices have been assigned responsibility for implementing procedures. (general)		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Determine how technical and quality assurance responsibilities are assigned. (general)		
6	Verify that procurement documents contain the following: (QAPD Section 4, Para. 4.2) <ul style="list-style-type: none"> • Statement of work • Technical requirements • Quality assurance requirements • Right of access • Documentation requirements • Nonconformance disposition Review 5 documents		
7	Verify that Procurement Documents are reviewed for technical requirements and that the review is documented. Verify that reviewers had access to pertinent information. (QAPD Section 4, Paras. 4.3.1 and 4.3.2c)		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8	Verify that Procurement Documents are reviewed for quality assurance requirements and that the review is documented. (QAPD Section 4, Paras. 4.3.1 and 4.3.2b)		
9	Determine how the Procurement Documents include supplier exceptions and how the exceptions are reviewed for impact. (QAPD Section 4, Para. 4.3.3)		
10	Verify that changes are reviewed to the same degree as the original document. (QAPD Section 4, Para. 4.4)		

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ORGANIZATION EVALUATED OCRWM		<input type="checkbox"/> EXTERNAL	<input checked="" type="checkbox"/> AUDIT	PREPARED BY <u>F. Bearham</u> <i>JER</i> DATE <u>04/09/93</u>
DATES OF EVALUATION May 10-13, 1993		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE <input type="checkbox"/> INSPECTION	
CONTROLLING DOCUMENT (Title, Number, Revision) DOE/RW-215, Rev. 3 Quality Assurance Program Description			ACTIVITY EVALUATED Criterion 7 - Control of Purchased Items and Services	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		RESULTS
1	Determine the types and number of Procurement Activities that have occurred since last HQ Audit. (General)			

* INDICATE RESULTS: SATISFACTORY (SAT), UNSATISFACTORY (UNSAT), NOT APPLICABLE (N/A)

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify that purchased items/services are being controlled using written procedures. (QAPD Section 7, Para. 7.0)		
3	Verify that the procedures include the following: (QAPD Section 7, Para. 7.1) <ul style="list-style-type: none"> • Procurement planning • Supplier selection and control • Bid evaluation • Supplier Performance Evaluation • Change control • Acceptance of services • Control of nonconformance 		
4	Verify that procedures on planning include: (QAPD Section 7, Para. 7.1a) <ul style="list-style-type: none"> • What is to be accomplished? • How is it to be accomplished? • When is it to be accomplished? • Who is to accomplish it? • Requirements for supplier QA Program 		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that procedure specifies evaluation of suppliers QA Program prior to initiating quality-affecting work. (QAPD Section 7, Para. 7.1.b)		
6	Verify that procedure specifies the process to determine suppliers' ability to meet technical/QA requirements. (QAPD Section 7, Para. 7.1.c)		
7	Verify that procedures specify the method and criteria for evaluating supplier performance. (QAPD Section 7, Para. 7.1.d)		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8	Verify that procedures specify the method for control of supplier generated documents. (QAPD Section 7, Para. 7.1.e)		
9	Verify that procedures specify methods for acceptance of services. (QAPD Section 7, Para. 7.1.g)		
10	Verify that procedures on Control of Nonconformance include: <ul style="list-style-type: none"> • Evaluation of nonconforming conditions • Submittal of the nonconformance documents • Disposition of supplier's corrective action • Verification of the disposition • Maintenance of records (QAPD Section 7, Para. 7.1.h)		
11	Determine which offices have been assigned responsibility for implementing the procedures. (QAPD Section 1, general)		

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QUALITY ASSURANCE CHECKLIST

ORGANIZATION EVALUATED OCRWM HQ		<input type="checkbox"/> EXTERNAL	<input checked="" type="checkbox"/> AUDIT	PREPARED BY <u>F. Bearham</u> <i>JER</i> DATE <u>4/12/93</u>
DATES OF EVALUATION May 10-13, 1993		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE <input type="checkbox"/> INSPECTION	
CONTROLLING DOCUMENT (Title, Number, Revision) QAAP 7.1, Rev. 1 Procurement of Services			ACTIVITY EVALUATED Control of Purchased Services	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		RESULTS
1	<p>Determine types and number of related procurement activities that have occurred since last HQ Audit. (General)</p> <p>Review several procurement documents</p> <ul style="list-style-type: none"> • In Progress • Completed 			

* INDICATE RESULTS: SATISFACTORY (SAT), UNSATISFACTORY (UNSAT), NOT APPLICABLE (N/A)

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Determine which office coordinates the control of purchased services. (Para. 4.2)		
3	Verify that procurement planning identifies: <ul style="list-style-type: none"> a) The procurement method to be used; b) A sequence of actions and milestones that indicates the completion of each procurement activity; and c) The applicable procedures for each procurement activity. The <i>Federal Acquisition Regulations (FAR)</i>, the <i>DOE Acquisition Regulations (DEAR)</i>, and policies and standard operating procedures prescribe the procurement planning and placement processes for commercial procurement. (Para. 5.1.1) 		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify that the procurement plans include the following: a) What is to be accomplished? b) Who is responsible c) How to accomplish d) When to accomplish e) SOW f) What technical/QA requirements (Para. 5.1.2)		
5	Verify that coordination points between the Responsible Director and ADCBM are identified during the conduct of procurement planning. (Para. 5.1.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	<p>Verify that proposal evaluations include:</p> <ul style="list-style-type: none"> a) Technical considerations; b) Quality assurance program requirements; c) Service organization's personnel; d) Service organization's capabilities to provide service; e) Service organization's past performance; f) Alternates; and g) Exceptions (Para. 5.2.1) 		
7	<p>Verify that measures for evaluation and selection of contractors include one or more of the following:</p> <ul style="list-style-type: none"> a) Evaluation of the contractor's capability by reviewing historical information on the quality of similar services provided; or b) Evaluation of the contractor's capability by reviewing current quality records supported by documented qualitative and quantitative information; or c) Direct evaluation of the contractor's facilities, personnel, and quality assurance program implementation. (Para. 5.2.2) 		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8	Verify that prior to contract, award, unacceptable quality conditions discovered during the proposal evaluation are resolved or commitments from the contractor to resolve the conditions are obtained. (Para. 5.2.3)		
9	Verify that prior to the contract award, measures to interface with the contractor and to verify the contractor's performance are established and questions concerning the provisions and specifications of the procurement documents are resolved. (Para. 5.2.4).		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
10	When a service organization is under contract to a DOE Field Office, a FY Field Budget Submission is issued to the Field Office by OCRWM, and Field Budget Submissions are treated as the procurement document for purposes of this procedure. (Para. 5.3)		
11	Verify that OCRWM has established a schedule for verification activities. (Para. 5.4.1).		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
12	Review the procedure for accepting a service organization's QA program. (Para 5.4.1)		
13	Review the provisions for ensuring that verification activities are conducted as early as practicable. (Para. 5.4.2)		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
14	Verify that procurement documents issued to direct-support or OCRWM-managed organizations contain an appropriate identification of QA requirements in accordance with Attachment III or Attachment IV. (Para. 5.5)		
15	Verify that procurement planning addresses QARD applicability. (Paras. 6.1.2 & 6.1.3)		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
16	Verify that the Responsible Director is included in the development of FY Field Submissions. (Para. 6.1.4)		
17	Verify that the Responsible Director coordinates with the ADCBM to develop the appropriate procurement document for an Interagency Agreement/Memorandum of Agreement or for the solicitation of commercial proposals, considering the applicable review criteria outlined in Attachment II and the procurement planning documents. (Para. 6.2.1)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
18	Verify the review of documents for technical/quality assurance adequacy is performed by OQA, ADCBM and independent technical representatives from each office having responsibility for the scope of work. (Para. 6.2.2)		
19	Verify the procurement document reviews are performed in accordance with QAP 6.2. (Para. 6.2.2)		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
20	Verify that an Interagency Agreement/Memorandum of Agreement is issued for work to be performed by another DOE Office or government agency. (Para. 6.2.3a)		
21	Verify that for commercial procurements, the Responsible Director interfaces with the Contracting Officer in the issuance of the request for proposals in accordance with standard procurement policies and procedures. (Para. 6.2.3b)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
22	Verify that a Field Budget Submission (FBS) is issued for work to be performed by a Field contractor. (Para. 6.2.3c)		
23	Verify that the ADCBM ensures compliance with the proposal evaluation and contractor selection process defined in Subsection 5.2. (Para. 6.3.1)		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
24	Verify that any changes to scope of work, technical or quality assurance requirements are addressed in updated procurement documents. (Para. 6.3.2)		
25	Verify that upon the identification of work to be performed by field contractors, the Chief, Budget Branch, in coordination with the Responsible Director develops a Field Budget Submission, ensuring that appropriate technical and QA requirements are identified or referenced within the document. (Para. 6.4.1)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
26	Verify that the FBS is reviewed by the Director, OQA, the ADCBM and independent technical representatives are assigned as reviewers. (Para. 6.4.2)		
27	Verify that Field Budget Submissions are reviewed IAW QAP 6.2 and that review criteria is compatible with Attachment II. (Para. 6.4.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
28	Verify that following review, the ADCBM coordinates the approval and issuance of the Field Budget Submission. (Para. 6.4.3)		
29	Verify that, for a direct-support organization, the Contracting Officer authorizes start of work. (Para. 6.5.1)		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
30	<p>Verify that for an OCRWM-managed organization the Responsible Director:</p> <p>a) Ensures that QA documents identified in Attachment IV have been received.</p> <p>b) Initiates the QA program document review IAW QAP 6.2. (Para. 6.5.2)</p>		
31	<p>Verify that subsequent to the start of work by the service organization, the Responsible Director, in coordination with the Contracting Officer's Representative (COR), ensures that any changes to the scope of work are documented in procurement documents in accordance with Subsection 6.2 or 6.4 as appropriate. (Para. 6.5.3)</p>		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
32	Verify that changes affecting the technical or QA requirements for the work are subject to QAAP 6.2 review in accordance with Paragraph 6.2.2 or 6.4.3. (Para. 6.5.3)		
33	Verify that ADCBM assembles and enters the procurement QA records package into the OCRWM records system in accordance with Subsection 7.1. (Para. 6.5.4)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
34	Verify that the Responsible Director, in coordination with the COR, ensures that deliverables are accepted by OCRWM. (Para. 6.6)		
35	Verify that the Responsible Director, in coordination with the COR schedules verification activities. (Para. 6.7)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
36	Verify that, at termination of contract, the Responsible Director, in coordination with the COR, ensures that the tasks and deliverable required by the procurement documents have been completed and handled in accordance with the procurement documents and that QA records have been processed in accordance with Section 7.2. (Para. 6.8)		
37	Verify that QA Records include: a) Procurement plans and procurement documents that identify the: <ul style="list-style-type: none"> • scope of work • technical and QA requirements • associated document review records b) Documents submitted by service organizations. (Para. 7.0)		

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ORGANIZATION EVALUATED OCRWM		<input type="checkbox"/> EXTERNAL	<input checked="" type="checkbox"/> AUDIT	PREPARED BY <u>Fred Bearham</u> DATE <u>04/13/93</u>
DATES OF EVALUATION May 10-13, 1993		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	
			<input type="checkbox"/> INSPECTION	
CONTROLLING DOCUMENT (Title, Number, Revision) Procurement of Services			ACTIVITY EVALUATED Directors Memorandum	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		RESULTS
1	<p>Review the methodology for meeting the following Division Responsibilities with regard to transportation and waste acceptance procurement.</p> <p>Develops and coordinates transportation activities involving cask design, testing, cask and other equipment, and acquisition.</p>			

* INDICATE RESULTS: SATISFACTORY (SAT), UNSATISFACTORY (UNSAT), NOT APPLICABLE (N/A)

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Conducts appropriate transportation economic and engineering analysis for transportation system development.		
3	Conducts activities associated with support system development necessary for transportation operations including cask maintenance.		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Manages and coordinates transportation subprogram safety, quality assurance, and standards development activities.		
5	Oversees work being performed by the M&O contractor or other contractors in the office's functional area of responsibility.		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Solicits and incorporates the views of external groups (other agencies, various levels of government, the public, etc.) in the technical and institutional design of the transportation system in coordination with the Office of External Relations.		
7	Manages the spent fuel acceptance process with owners and generators including performing the necessary studies, consistent with systems engineering requirements, to determine the technical waste acceptance criteria, the Delivery Commitment Schedule and Final Delivery Schedule processes, the ACR issue resolution process.		

memorandum

QA Record

DATE: JUL 14 1992

REPLY TO
ATTN OF: RW-32

SUBJECT: Technical Document Preparation Plan (TDPP) for the Preparation of Requirements Documents

TO: Distribution

Attached is the initial issuance of the TDPP for the preparation of System Requirements and Interface Specification documents. This document replaces the Technical Document Management Plan for the Preparation of System Requirements, Revision 0, and has been prepared in accordance with Quality Assurance Procedure (QAP) 6.2, Document Review and QAP 3.5, Technical Document Preparation. This revision recognizes the establishment of the M&O CRWMS Requirements Task Force, and the Waste Acceptance Requirements Task Force, as well as the issuance of QAP 6.2 and Revision 2 of QAP 3.5.

Please ensure that in accordance with QAP 3.5, this TDPP is distributed to all individuals who are involved in the preparation of the System Requirements and Interface Specification documents.

If you have any questions, please contact Mark Senderling on 586-2279.


W. A. Lemeszewsky, Acting Director
Systems Engineering and Program
Integration Division

Attachment

DISTRIBUTION

J. Roberts, RW-30
M. Senderling, RW-321
T. Truong, RW-321
M. Popa, RW-321
S. Gomberg, RW-322
A. Greenberg, M&O/RDA
R. Godman, M&O/TRW
F. Ridolphi, M&O/TRW
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S. Willis, M&O/TRW
R. Sandifer, M&O/TRW
G. Rogers, M&O/TRW

cc: (w/o attachment)

R. Clark, RW-3.1

T. Wood, RW-52

A. Mozhi, Weston