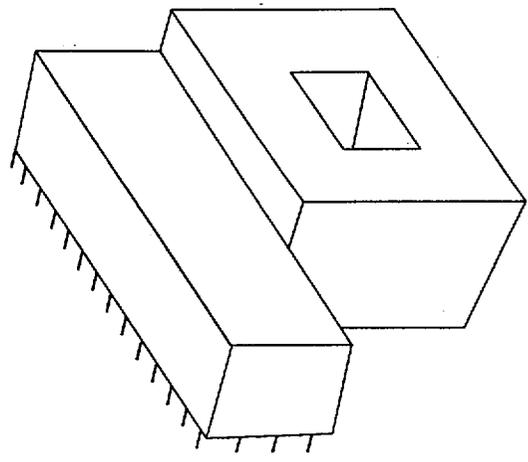


*rec'd with returned
11/17/92*

DOE HEADQUARTERS

AUDIT HQ-93-01

**OCRWM Headquarters Including
YMPO Quality Assurance Division**



Washington, D.C.

Las Vegas, NV

**November 30, 1992
through
December 9, 1992**

ADD: Jack Spraul
delete all distribution except: CF, PDC & NUDOS

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RW-3

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT (OCRWM) QUALITY ASSURANCE (QA) AUDIT HQ-93-01 OF OCRWM HEADQUARTERS ACTIVITIES INCLUDING YUCCA MOUNTAIN PROJECT OFFICE QUALITY ASSURANCE DIVISION (YMQAD) ACTIVITIES

Director, Office of Civilian Radioactive Waste Management, RW-1

Please be advised that a team from OCRWM, Office of Quality Assurance (OQA), will conduct a QA audit of the OCRWM QA Program and implementation during the period November 30 - December 11, 1992. Current plans are for the audit team to hold a preaudit meeting on Monday, December 7, 1992, beginning at 9:00 a.m., Room 4E-069, at the Forrestal Building. Please arrange for the appropriate personnel to attend the meeting. The postaudit meeting is tentatively scheduled for 2:30 p.m. on Friday, December 11, 1992.

A portion of this audit will be performed the week beginning November 30 at the Yucca Mountain Project Office to assess implementation and effectiveness of the Yucca Mountain Quality Assurance Division's oversight activities (i.e., Criterion 2, 16, & 18). The preaudit meeting for this activity will be held on Monday, November 30, 1992, beginning at 9:00 a.m.

The audit will focus on the following areas:

QA Program Elements

- 1 - Organization
- 2 - Quality Assurance Program
- 5 - Instructions, Procedures, and Drawings
- 6 - Document Control
- 16 - Corrective Action
- 17 - Quality Assurance Records
- 18 - Audits

The audit will evaluate compliance to and effectiveness of the OCRWM QA Program as described in the Quality Assurance Program Description and its related implementing procedures.

Checklists developed from the applicable implementing procedures will be used in conducting the audit. If the audit team identifies a need to verify additional programmatic areas during the audit, they will be added to the audit checklists and verified accordingly.

9212150164 921117
PDR WASTE
WM-11

PDR

The audit team will consist of:

<u>NAME</u>	<u>ORGANIZATION</u>	<u>TEAM</u>
Dennis Brown	CER Corp., Arlington, VA	Audit Team Leader
Michael Donovan	CER Corp., Arlington, VA	Auditor
Hank Greene	CER Corp., Arlington, VA	Auditor
Marlin Horseman	CER Corp., Arlington, VA	Auditor
Lester Wagner	CER Corp., Arlington, VA	Auditor
Hugh Lentz	CER Corp., Arlington, VA	Auditor
Robert Howard	Weston, Washington, DC	Auditor
Sam Horton	SAIC, Las Vegas, NV	Auditor
Stephen Dana	SAIC, Las Vegas, NV	Auditor

Observers representing the State of Nevada, U. S. Nuclear Regulatory Commission, and other interested parties may also be accompanying the team. You will be notified of these observers prior to the audit.

If you have any questions, please contact Bob Clark at 586-1238 or Dennis Brown of CER Corporation at (703) 276-9300.

Donald G. Horton, Director
Office of Quality Assurance Division

Attachment
Audit Plan HQ-93-01

cc:

R. Spence, YMPO
M. Payton, DOE-HQ
R. Loux, State of Nevada
S.W. Zimmerman, NWPO, Carson City, NV
K. Whipple, Lincoln County, NV
M. Gaughman, Lincoln County, NV
J. Bingham, Clark County, NV
D. Betchel, Clark County, NV
Englebrecht von Tiesenhasuen, Clark County, Las Vegas, NV
S. Bradhurst, Nye County, NV
P. Niedzielski-Eichner, Nye County, NV
R. Campbell, Inyo County, CA
R. Michener, Inyo County, NV
G. Derby, Lander County, NV
P. Goicoechea, Eureka, NV
C. Schank, Churchill County, NV
C. Jackson, Mineral County, NV
F. Sperry, White Pine County, NV
L. Vaughn, Esmeralda County, NV
K. Hooks, NRC, Washington, D.C.
F. Peters, HQ, (RW-2) FORS
T. Isaacs, HQ (RW-4) FORS
J. Saltzman, HQ (RW-5) FORS
S. Rousso, HQ (RW-10) FORS
S.J. Brocoum, HQ (RW-22) FORS
D.E. Shelor, HQ (RW-30) FORS
R.A. Milner, HQ (RW-40) FORS
T. Johnson, RW-3.1
W. Booth, Weston
M. Collins, TRW, Vienna, VA

11-04-92/FHL

OCRWM AUDIT HQ-93-01
TEAM/CRITERION/CHECKLIST ASSIGNMENTS

<u>TEAM</u>	<u>PERSONNEL</u>	<u>CRITERION</u>	<u>IMPLEMENTING PROCEDURES</u>
"A" (HQ)	Denny Brown Hugh Lentz <i>Marlin Horseman</i>	1, 2, 17	QAAP 2.6, 2.7 2.10, 17.1 ILP 12.17.01
"B" (HQ)	Rob Howard Steve Dana	2, 5, 6	QAAP 2.1, 2.2, 2.4, 6.1, QAP 5.1, 6.2
"C" (HQ)	Mike Donovan Sam Horton	2, 16, 18	QAAP 2.3, 2.9, 16.1, 16.2 18.1, 18.2 18.3
"D" (YMP)	Marlin Horseman Hank Greene	2, 16, 18	QAAP 2.9, 16.1, 16.2, 18.1 18.2, 18.3 QMP 16-03,
"E" (YMP)	Denny Brown Les Wagner	2, 5, 6, 17	QAP 5.1, 6.2 QMP 02-01, AP-1.18Q

OCRWM AUDIT HQ-93-01 TEAM ASSIGNMENTS

- Audit Team Leader: R. Dennis Brown, CER Corporation
- Team "A" Dennis Brown and Hugh Lentz [Criteria 1, 2 and 17]
- Team "B" Rob Howard and Steve Dana [Criteria 2, 5 and 6]
- Team "C" Mike Donovan and Sam Horton [Criteria 2, 16 and 18]
- Team "D" Marlin Horseman and Hank Greene [Criteria 2, 16 and 18 at YMPO]
- Team "E" Dennis Brown and Les Wagner [Criteria 2, 5, 6 and 17 at YMPO]

MONDAY	TUESDAY	WEDNESDAY
0830-Team and Observer Briefing	0830-ATL Brief OCRWM Management	0830-ATL Brief OCRWM Management
0900-930 Preaudit Meeting	A-17 (<i>ILP 12.17.01</i>) B-5,6 C-18	A, B, C, D, E
930-Commence Audit A-1,2 (2.6, 2.7, 2.10) B-2 (2.1, 2.2, 2.4) C-2,16 (2.3, 2.9) D-18 E-2,5 (02-01)	D-2,16 (2.9, 16-03) E-5,6 (<i>AP 1.18Q</i>)	F/U & Closeout
1200 - 1300 Lunch		
1300 A-1,2 (2.6, 2.7, 2.10) B-2 (2.1, 2.2, 2.4) C-2,16 (2.3, 2.9) D-18 E-5,6	1300 A-17 (<i>ILP 12.17.01</i>) B-5,6 C-18 D-2,16 (2.9, 16-03) E-5,6 (<i>AP 1.18Q</i>)	1500-1600 Postaudit Meeting
1600 Team Debriefing	1600 Team Debriefing	

Criteria covered by the audit:

1,2,5,6,16,17 and 18 at OCRWM HQ
and at YMPO QAD

AUDIT PLAN
AUDIT NUMBER: HQ-93-01
AUDIT OF OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT (OCRWM)

An audit of OCRWM will be conducted the weeks of November 30 - December 2 at the Yucca Mountain Quality Assurance Division (YMQAD) December 7 - 9, 1992 at OCRWM-HQ in the Forrestal Building.

The audit will be conducted by:

Dennis Brown	CER Corp., Arlington, VA	Audit Team Leader
Michael Donovan	CER Corp., Arlington, VA	Auditor
Marlin Horseman	CER Corp., Arlington, VA	Auditor
Hank Greene	CER Corp., Arlington, VA	Auditor
Lester Wagner	CER Corp., Arlington, VA	Auditor
Hugh Lentz	CER Corp., Arlington, VA	Auditor
Robert Howard	Weston, Washington, DC	Auditor
Sam Horton	SAIC, Las Vegas, NV	Auditor
Stephen Dana	SAIC, Las Vegas, NV	Auditor

Observers from the State of Nevada, the NRC, the Edison Electric Institute, and other interested parties will be invited to participate.

AUDIT SCOPE

The audit will evaluate the compliance to and effectiveness of the OCRWM QA Program as described the Quality Assurance Program Description and its related implementing procedures for OCRWM HQ activities and YMQAD activities.

QA PROGRAM ELEMENTS

The implementation of the following criteria will be evaluated during the audit:

- 1 - Organization (HQ only)
- 2 - Quality Assurance Program
- 5 - Instructions, Procedures, and Drawings
- 6 - Document Control
- 16 - Corrective Action
- 17 - Quality Assurance Records
- 18 - Audits

The audit will be based on requirements drawn from the DOE/RW-0214, Quality Assurance Requirements Document (QARD); DOE/RW-0215, Quality Assurance Program Description (QAPD); and applicable Quality Assurance Administrative Procedures (QAAPs),

Implementing Line Procedures (ILPs), YMPO Quality Management Procedures (QMPs), and YMPO Administrative Procedures (APs).

Checklists developed from the above documents will be used in conducting the audit. If the audit team identifies a need to verify additional programmatic areas during the audit, they will be added to the audit checklist and verified accordingly.

PRELIMINARY AUDIT SCHEDULE

Audit Team Briefing - YMPO	November 30th	8:30am
Preaudit Meeting - YMPO	November 30th	9:00am
Conduct of Audit - YMPO	November 30th	9:30am - 4:00pm
	December 1st	8:30am - 4:00pm
	December 2nd	8:30am - 2:30pm
Postaudit Meeting - YMPO	December 2nd	3:00pm - 4:00pm
Audit Team Briefing - HQ	December 7th	8:30am
Preaudit Meeting - HQ	December 7th	9:00am
Conduct of Audit - HQ	December 7th	9:30am - 4:00pm
	December 8th	8:30am - 4:00pm
	December 9th	8:30am - 2:30pm
Postaudit Meeting - HQ	December 9th	3:00pm - 4:00pm
Daily Audit Team Debriefing		4:00pm
Daily Summary to OCRWM Management		8:30am

The audit may be extended as necessary to ensure adequate coverage of each criteria to be audited.

Prepared by: R. Dennis Brown
R. Dennis Brown, CER Corporation
Audit Team Leader

Date: 11/11/92

Approved by: R. W. Horton
Donald G. Horton, Director
Office of Quality Assurance

Date: 11/13/92

**OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.**

SHEET 1 OF 8
AUDIT/SURVEILLANCE
NO. HQ-93-01

QUALITY ASSURANCE CHECKLIST

ORGANIZATION EVALUATED OCRWM HQ		[] EXTERNAL [X] INTERNAL	[X] AUDIT [] SURVEILLANCE	PREPARED BY <u>R. D. Brown</u> DATE <u>11/19/92</u>
DATES OF EVALUATION November 30 - December 9, 1992				
CONTROLLING DOCUMENT (Title, Number, Revision) DOE/RW-215, Rev.3 <i>Quality Assurance Program Description, ICN 3.1</i>			ACTIVITY EVALUATED Organization	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		* RESULTS
1	Review organization chart and verify that all positions are assigned. (Para. 1.1)			

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

OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

SHEET 2 OF 8
AUDIT/SURVEILLANCE
NO. HQ-93-01

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 the Director, OCRWM has approved the QARD. (Para. 1.1.1)		
3	Verify that the Director, OCRWM has approved the QAPD. (Para. 1.1.1)		

**OFFICE OF CIVILIAN
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U.S. DEPARTMENT OF ENERGY
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SHEET 3 OF 8
AUDIT/SURVEILLANCE
NO. HQ-93-01

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 Director, OCRWM has provided for, or participated in, interactions with Federal regulatory agencies; the nuclear industry; affected states, local governments, and Indian Tribes on quality assurance matters related to their areas of interest.</p> <p>(Interview the Director, OQA). (Para. 1.1.1)</p>		
5	<p>a. Verify that the Director, OQA has been delegated authority to direct and control the QA function.</p> <p>b. Does the Director, OQA have direct access to the Director, OCRWM?</p> <p>c. Does the Director, OQA have freedom and authority for quality issues?</p> <p>d. Does the Director, OQA have other responsibilities that prevent full attention to quality activities? (Para. 1.1.2.1)</p>		

**OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
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SHEET 4 OF 8
AUDIT/SURVEILLANCE
NO. HQ-93-01

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
6	Is there evidence to indicate that the Director, OQA is reviewing QA program descriptions (including revisions to any interpretations thereof) of HQ-managed program participants and other affected organizations, for compliance with established Program QA policies and requirements, develop recommendations relative to acceptance and submit recommendations to appropriate Associate Directors for action? (Para. 1.1.2.1)		
7	Verify that the Director, OQA assures development and implementation of a quality assurance indoctrination program for all Program personnel. (Para. 1.1.2.1)		

**OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.**

SHEET 5 OF 8
AUDIT/SURVEILLANCE
NO. HQ-93-01

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 the Director, OQA establishes and maintains a Program quality assurance information system to facilitate effective communication of the status of the quality assurance program; status of resolution of issues, trends and significant conditions adverse to quality; and a summary of management overview results. (Para. 1.1.2.1)		
9	Verify that the delegation of authority and responsibility for the HQ and YMPO QA Divisions has been clearly established. (Para. 1.1.2.2).		

**OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.**

SHEET 6 OF 8
AUDIT/SURVEILLANCE
NO. HQ-93-01

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
10	<p>Review objective evidence that the Associate Director, Systems and Compliance (ADSC) performs the following functions:</p> <ul style="list-style-type: none"> a. Planning, managing, and overseeing integration of the Civilian Radioactive Waste Management system. b. Managing programs for the development of technologies for use at the geologic repository of MRS (e.g. storage modules). c. Development, implementation, and maintenance of a Program Management System. d. Developing a transportation system. e. Serving as the official contract for the Program with the NRC and other regulatory agencies. <p>(Para. 1.1.5)</p>		

**OFFICE OF CIVILIAN
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U.S. DEPARTMENT OF ENERGY
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SHEET 7 OF 8
AUDIT/SURVEILLANCE
NO. HQ-93-01

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
11	<p>Verify that interfaces between OCRWM and affected organizations have been established.</p> <ul style="list-style-type: none"> • coordination responsibilities • directive memos • available feedback for affected organization (Para. 1.1.13) 		
12	<p>Review objective evidence that the Associate Director, Office of Storage and Transportation (ADST) performs the following functions:</p> <ul style="list-style-type: none"> a. Project management for the MRS, transportation and cask development. b. Waste acceptance system development. c. Management and Operations (M&O) and other contractor technical management. e. System logistics development. f. Waste generator technical interface. <p>(Para. 1.1.6)</p>		

OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.

SHEET 8 OF 8
AUDIT/SURVEILLANCE
NO. HQ-93-01

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
13	<p>Review objective evidence that the Associate Director, Office of Geologic Disposal (ADGD), performs the following functions:</p> <ul style="list-style-type: none">a. Characterization of the geologic repository site.b. Repository facility development, design, and engineering.c. Providing management oversight of the technical direction of Program geoscience activities. <p>(Para. 1.1.7)</p>		

**OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.**

PAGE 1 OF 9
AUDIT/SURVEILLANCE
NO. HQ-93-01

QUALITY ASSURANCE CHECKLIST

ORGANIZATION EVALUATED OCRWM HQ		<input type="checkbox"/> EXTERNAL	<input checked="" type="checkbox"/> AUDIT	PREPARED BY <u>S. Dana</u> DATE <u>11/17/92</u>
DATES OF EVALUATION November 30 - December 9, 1992		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	
CONTROLLING DOCUMENT (Title, Number, Revision) QAAP 2.1, Rev. 2 <i>Indoctrination and Training</i>			ACTIVITY EVALUATED Indoctrination and Training	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		* RESULTS
1	Interview the QA Training Officer and Supervisors to determine their knowledge of and familiarity with QAAP 2.1 requirements. • Obtain copy of OCRWM Orig. Chart (Paras. 4.3 and 4.4)			
2	Verify that supervisors inform the QA Training Officer, by memo, if any permanent and non-permanent personnel under their supervision are performing duties subject to QA program controls. • Obtain a copy of the memos. (Para. 5.4.4)			

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

**OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.**

SHEET 2 OF 9
AUDIT/SURVEILLANCE
NO. HQ-93-01

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3	<p>Verify that supervisors have prepared an initial or revised an existing I&T Matrix whenever:</p> <ul style="list-style-type: none"> a) New personnel are assigned; or b) Previously assigned personnel receive a new position or changes to job duties within a position. <ul style="list-style-type: none"> • Work with item No. 4 • Use information from QAAP 2.2 checklist to identify job position changes <p>(Para. 6.2.1)</p>		
4	<p>Verify that subsequent documentation of completed self-study and classroom training is made on a separate I&T Matrix and that the QA Training Officer enters the data into the training database.</p> <ul style="list-style-type: none"> • Work with item No. 3 <p>(Para. 6.5.11)</p>		

**OFFICE OF CIVILIAN
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U.S. DEPARTMENT OF ENERGY
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SHEET 3 OF 9
AUDIT/SURVEILLANCE
NO. HQ-93-01

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
5	Verify completion of a new I&T Matrix or matrix revision in accordance with the I&T Matrix instructions. <ul style="list-style-type: none"> • Work with item No. 6 (Paras. 6.2.2 and 6.2.3)		
6	Verify that training requirements for a job duty have been completed prior to performing the duty. <ul style="list-style-type: none"> • Look at M&O Direct Support Contractors • Assure completion of I&T assignments per I&T Matrix instructions • Work with item No. 5 (Paras. 6.5.1, 6.5.6, 6.5.8 and 5.3)		

**OFFICE OF CIVILIAN
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U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.**

SHEET 4 OF 9
AUDIT/SURVEILLANCE
NO. HQ-93-01

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
7	Verify that the supervisor has forwarded the original I&T Matrix to the employee and a copy to the QA Training Officer. (Para. 6.2.4)		
8	Verify that the QA Training Officer reviews the I&T Matrix for proper preparation and enters the requirements into the training database. • Procedure does not specify how/where the QA Training Officer review is documented. (Para. 6.2.5)		

OFFICE OF CIVILIAN
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WASHINGTON, D.C.

SHEET 5 OF 9
AUDIT/SURVEILLANCE
NO. HQ-93-01

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
9	Verify that lesson plans are used for classroom training and have been approved by the QA Training Officer. <ul style="list-style-type: none">• Look at Lead Auditor Training Course lesson plan• Obtain a list of all classroom training (Para. 5.1.2 and 6.3.2)		
10	Verify that learning objectives for classroom training: <ul style="list-style-type: none">a) Identify training content, andb) State the actions the trainee should be capable of demonstrating and the standards of performance the trainee should be able to achieve. (Para. 5.1.3)		

OFFICE OF CIVILIAN
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SHEET 6 OF 9
AUDIT/SURVEILLANCE
NO. HQ-93-01

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
11	Verify that training materials and lesson plans have been revised whenever procedures or learning objectives are revised. (Para. 6.3.3)		
12	Verify that the QA Training Officer notifies personnel regarding course offerings, location, and time in advance of scheduled courses. (Para. 6.4)		

**OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.**

SHEET 7 OF 9
AUDIT/SURVEILLANCE
NO. HQ-93-01

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
13	Verify that employees have attended classroom training. (Paras. 6.5.2 and 6.5.4)		
14	Verify that the QA Training Officer reviews the I&T Matrix for completion and that the completed data is entered into the training database. • Procedure does not specify how/where the review is documented. (Para. 6.5.10)		

**OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.**

SHEET 8 OF 9
AUDIT/SURVEILLANCE
NO. HQ-93-01

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
15	Verify that the employee forwards, at the end of each quarter, a Quarterly Update of the latest status to the supervisor, who signs and forwards it to the QA Training Officer. If no I&T activity, verify that the supervisor forwarded a memo to the QA Training Officer. (Para. 6.5.12)		
16	Verify that the QA Training Officer periodically issues reports for information or action, and for review of essential data for accuracy and completeness. (Para. 6.5.13)		

**OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.**

SHEET 9 OF 9
AUDIT/SURVEILLANCE
NO. HQ-93-01

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
17	Verify that completed I&T Matrices, Attendance Records, and lesson plans are collected and maintained per QAAP 17.1. • Provide listing of records to Criterion 17 auditor. (Para. 7.1)		
18	Verify that RD is familiar with this procedure. (General)		

**OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.**

PAGE 1 OF 6
AUDIT/SURVEILLANCE
NO. HQ-93-01

QUALITY ASSURANCE CHECKLIST

ORGANIZATION EVALUATED OCRWM HQ		<input type="checkbox"/> EXTERNAL	<input checked="" type="checkbox"/> AUDIT	PREPARED BY <u>S. Dana</u> DATE <u>11/20/92</u>
DATES OF EVALUATION November 30 - December 9, 1992		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	
CONTROLLING DOCUMENT (Title, Number, Revision) <i>QAAP 2.2, Rev. 1 Verification of Personnel Qualifications</i>			ACTIVITY EVALUATED Verification of Personnel Qualifications	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		* RESULTS
1	<p>Verify that position descriptions, describing the major duties and responsibilities, have been developed by the supervisors for each of their staff members who perform activities subject to QA program controls and are included in each employees training and qualification file.</p> <ul style="list-style-type: none"> • Obtain a list of OCRWM DOE and contractor personnel that perform quality affecting activities. • Interview various supervisors to determine their understanding of the position description process <p>(Para. 5.1)</p>			

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

**OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
WASHINGTON, D.C.**

SHEET 2 OF 6
AUDIT/SURVEILLANCE/INSPECTION
NO. HQ-93-01

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
2	<p>Verify that minimum education and experience requirements are contained in each position description.</p> <ul style="list-style-type: none"> • For OCRWM positions assure consistency with OPM Handbook X-118 (5.2.a) <p>(Para. 5.2)</p>		
3	<p>Verify completion of the Position Qualification Statement by the Supervisor:</p> <ul style="list-style-type: none"> • Assure objective evidence of verification of education and experience is attached • Verify that education and experience meet the minimum required for the position. (Para. 6.2.1) • If education and experience wasn't verified, assure the supervisor provided a written statement with justification for the assignment <p>(Para. 6.2.2)</p>		

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4	<p>Verify that the supervisor transmitted the completed PQS with supporting documentation to the QRC and appropriate administrative support personnel, OCRWM contractor.</p> <ul style="list-style-type: none"> • Provide information to the Criterion 17 auditor. <p>(Para. 6.3.2)</p>		
5	<p>Verify that the supervisor maintains a copy of each PQS with supporting documentation in a locked cabinet.</p> <ul style="list-style-type: none"> • Determine access requirements to files (who has access and how many keys?) <p>(Para. 6.3.3)</p>		

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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 an Indoctrination and Training Matrix was established subsequent to completion of the PQS.</p> <ul style="list-style-type: none"> • Work this with question from QAAP 2.1 checklist <p>(Para. 6.4.1)</p>		
7	<p>Verify that employees reassigned to perform new duties (that require different qualifications) have been requalified.</p> <ul style="list-style-type: none"> • Check status of position descriptions <p>(Para. 6.5)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
8	Verify that records are collected and maintained in accordance with QAAP 17.1.		
9	Evaluate the adequacy of the procedure.		

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10	Evaluate the adequacy of implementation of the procedures.		

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DATES OF EVALUATION November 30 - December 9, 1992			

CONTROLLING DOCUMENT (Title, Number, Revision) QAAP 2.3, Rev. 0, Establishing QA Program Controls	ACTIVITY EVALUATED Establishment of QA Controls
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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
1	<p>Are OCRWM Program activities and associated QA program controls identified in a QA controls document? (Para. 6.0)</p> <p>Identify the current revision of the QA Controls Document.</p>		
2	<p>Have the Director, OCRWM; the Director, OQA; and the Associate and Office Directors developed descriptions of their assigned responsibilities at a function and, if necessary, a work level? (Para. 6.1)</p> <p>Verify that these descriptions are at the level of detail necessary to:</p> <ul style="list-style-type: none"> • Define the purpose and outputs, and • Identify the applicable QA Program controls necessary to assure the achievement and verification of quality requirements. <p>Verify that these descriptions are consistent with approved mission and function statements.</p>		

* 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
3	<p>For each description, has a determination of the applicability of the QARD been made? (Para. 6.2)</p> <p>Verify that:</p> <ul style="list-style-type: none"> • The results of the determination are documented on Attachment II, "QA Program Controls Matrix" and • The basis (justification) for the determination is documented on Attachment III, "QA Program Controls Basis Sheet." 		
4	<p>When the QARD is applicable, is the QAPD indicated on the QA Program Controls Matrix sheet? (Para. 6.3.1).</p> <p>Verify that QAPD Sections 1,2,4-7, and 16-18 always apply.</p> <p>Verify that applicability of other sections has been evaluated and:</p> <ul style="list-style-type: none"> • Documented on QA Program Controls Matrix sheets if applicable, or • Justified on QA Program Controls Basis sheets if not applicable. 		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
5	Verify that each Associate or Office Director has submitted function or work definitions; associated QA Program Controls Matrices; and QA Program Controls Basis Sheets to the Director, OQA for incorporation into the QA Controls Document (Para. 6.4).		
6	Verify that the Associate Director for Program and Resource Management has reviewed and concurred with the function work definitions for conformance to approved mission and function statements (Para. 6.5.1).		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	Verify that the Director, OQA has: <ul style="list-style-type: none"> • Reviewed the QA Controls Document in accordance with QAAP 2.5, <i>Quality Assurance Program Document Review</i>, and • Concurred with and signed the QA Program Controls Basis Sheets (Para. 6.5.2). 		
8	Verify that the OQA maintains the QA Controls Document as a controlled document in accordance with QAAP 6.1, <i>Document Control</i> (Para. 6.6.1).		

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DATES OF EVALUATION November 30 - December 9, 1992		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	
CONTROLLING DOCUMENT (Title, Number, Revision) QAAP 2.4, Rev. 0 <i>Preparation and Maintenance of the QARD & QAPD</i>			ACTIVITY EVALUATED Preparation and Maintenance of the QARD & QAPD	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		* RESULTS
	Interview the Director, HQQAD to determine what actions are being taken to revise QAAP 2.4 to accommodate the Quality Assurance Requirements and Description (QARD) document. (General)			

* 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
1	Questions 1 through 3 may be completed prior to the audit Verify format and content of QARD and QAPD per QAAP 2.4, Section 5.1.		
2	Verify method of modifying the QARD and QAPD per QAAP 2.4, Section 5.2.		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3	Verify documentation of interim changes per QAAP 2.4, Section 5.3.		
4	Verify that the Director, OQA has assigned individuals to prepare the QARD & QAPD. (Para. 6.1.1) (Procedure does not state how this is accomplished.)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
5	Verify how review, resolution of comments, and approval of the document is accomplished. (Para. 6.1.4) (Procedure references QAAP 2.5 which has been cancelled.)		
6	Review ICN 4.1 (DOE/RW-0214) and ICN 3.1 (DOE/RW-0215) and verify conformance to Sections 6.2.5 through 6.2.8. (Review concurrently with Question 3.)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	Verify that ICNs 3.1 and 4.1 have been collected and maintained in accordance with QAAP 17.1. (Para. 7.0) (Provide information to Criterion 17 auditor.)		

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DATES OF EVALUATION November 30-December 9, 1992		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	
CONTROLLING DOCUMENT (Title, Number, Revision) QAAP 2.6, Rev. 2 <i>Readiness Review</i>			ACTIVITY EVALUATED Readiness Review	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		* RESULTS
	Determine types and number of activities that require Readiness Review since last HQ Audit. (General)			

* 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
1	Verify that the Responsible Director (RD) has documented the need for the Readiness Review (RR) and has identified the specific point at which it will be performed. (Para. 6.1.1)		
2	Verify that the RD has defined the scope of the review, defined the guidelines (see Para. 5.1), and appointed a RR chairperson (RRC). (Para. 6.1.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3	Verify that the RRC established qualification requirements for and selected the RR team members. (Para. 6.1.4)		
4	Verify that team members are qualified by education and experience to perform the RR. (Para. 5.2.1)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	<p>Verify that team members are trained on the requirements of the OCRWM QARD, QAPD, and QAAP 2.6, Rev. 2. (Para. 5.2.2)</p> <p>(Coordinate with QAAP 2.1 checklist)</p>		
6	<p>Verify that the RRC has prepared a RR plan with the following:</p> <ul style="list-style-type: none"> a) Introduction b) Scope c) Objectives to be determined d) Reference procedures e) Guidelines f) Assumptions g) Schedule; milestones and dates for report h) RRT members i) Signature of RRC <p>(Para. 6.1.5)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
7	Verify that the RD approved the RR plan. (Para. 6.1.6)		
8	Verify that the RRT developed and the RRC approved the Attribute List. (Para. 6.1.7 and 6.1.8)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
9	Verify that the RRT members used the Attribute List (initial/date each item) and identified satisfied or Open Items. (Para. 6.2.1)		
10	Verify that RRT members documented open items on Open Item Report, which identifies the following: a) Attribute/Open Item numbers b) Description of attribute/open item c) Required action, responsibility and estimated completion date d) Signature/date of preparer e) identification of hold points (Para. 6.2.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
11	Verify that the RRC coordinates preparation of the RR report including the Open Item List and the following: a) Team members b) Activity under review c) RRC signature/date (Para. 6.3.1)		
12	Verify that all items on Attribute List are closed or on Open Item List. (Para. 6.3.1)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
13	Verify that the RD has approved and distributed the RR report. (Para. 6.3.2)		
14	Verify that the RRC has tracked the Open Items and documented closures. (Paras. 6.3.3 and 6.3.4)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
15	Verify that the RD has authorized start or continuation of work. (Para. 6.3.4)		
16	Verify that work has not proceeded past a hold point established on the Open Item Report. (Para. 6.3.4)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
17	Verify that QA Records have been collected and maintained for the RR. a) RR Plan b) Attribute List c) Open Item List d) RR Report e) RD authorization to start work (Para. 7.0)		
18	Verify that OQA performed surveillance of RR to ensure compliance with this procedure. (Para. 4.6.1) (Coordinate with QAAP 18.3 checklist)		

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19	Verify that RD is familiar with this procedure. (General)		

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DATES OF EVALUATION November 30 - December 9, 1992		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	
CONTROLLING DOCUMENT (Title, Number, Revision) QAAP 2.7, Rev. 1 <i>Management Assessment</i>			ACTIVITY EVALUATED Management Assessment	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		RESULTS
1	Determine status of Management Assessments conducted: <ul style="list-style-type: none"> • previous assessment • current assessment (Para. 5.1) Verify that the Director, OCRWM has directed the annual management assessment of the OCRWM QA program to be conducted. (Para. 4.1.1)			

* 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 Director has determined assessment option and has appointed a team leader. (Para. 6.1)		
3	Verify that the assessment team leader has developed a plan. (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
4	Verify that the Director has approved the plan. (Para. 6.2.2)		
5	Verify that the team has performed the assessment in accordance with the plan. (Para. 6.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify that the assessment team leader has documented the results in a report. The report includes the following: a) Executive Summary b) Description of Scope c) Team member d) Personnel contacted e) Description of Results f) Evaluation - status, adequacy, effectiveness, etc. g) Conditions Adverse to Quality h) Recommendations (Para. 6.4.1)		
7	Verify that team members concur with report. (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
8	Verify that team leader signs, Director approves, and issues report. (Para. 6.4.3)		
9	Verify that affected Office Directors respond to the assessment report and recommendations. (Para. 6.5.1)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
10	Verify that QA Records are collected and maintained: management assessment plans and reports. (Para. 7.0)		
11	Verify that Assessment Team Members are independent of OQA and their areas of responsibility. (Para. 5.3a)		

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12	Verify that team members are trained in the content/implementation of the QARD, QAPD, and QAAP 2.7. (Para. 5.3b)		
13	Verify that conditions adverse to quality were addressed on a "CAR". (Para. 6.4.4)		

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14	Verify that RD is familiar with this procedure. (General)		

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DATES OF EVALUATION November 30 - December 9, 1992			

CONTROLLING DOCUMENT (Title, Number, Revision) <i>QAAP 2.9, Rev. 3, QA Program Trend Evaluation and Reporting</i>	ACTIVITY EVALUATED QA Trending
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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	<p>Obtain a listing of all CARs designated as "Significant Conditions Adverse to Quality". (General)</p> <p>Obtain a listing of all other CARs.</p> <p>(General - A sample of these will be used to review criteria used to determine QAAP 16.1 "significance".)</p>		

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

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1	Verify that Quality Assurance Program Trends Report has been issued by the D, OQA on a Quarterly basis since last HQ Audit. (Para. 6.2.5)		
2	Review the distribution list for the quarterly report to verify that it includes OCRWM management and participating organizations. (Para. 6.2.5)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3	Review Quarterly Trends Reports issued since the last HQ Audit (Oct. 1991) to verify content of sections. (Para. 5.2)		
4	Review criteria used to identify the need for, and the type of statistical aids used for data evaluations. (Para. 6.1.1)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Review any CARs issued for adverse or generic adverse trends and verify that appropriate corrective actions were requested. (Para. 6.1.2) (See also QAAP 16.1 checklist)		
6	Verify that any trend evaluations pertaining to participants has resulted in a CAR or a written request for appropriate corrective actions in accordance with the participant's internal procedures. (Para. 6.1.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	Verify that the D, OQA evaluates the QARD's input for evidence of generic adverse trends. (Para. 6.2.2)		
8	Evaluate the adequacy of the procedure.		

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ORGANIZATION EVALUATED OCRWM HQ		<input type="checkbox"/> EXTERNAL	<input checked="" type="checkbox"/> AUDIT	PREPARED BY <u>F. Hugh Lentz</u> DATE <u>11-16-92</u>
DATES OF EVALUATION November 30 - December 9, 1992		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	
CONTROLLING DOCUMENT (Title, Number, Revision) QAAP 2.10, Rev. 0 <i>Hold Points</i>			ACTIVITY EVALUATED Hold Points	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		* RESULTS
1	Determine the number hold points that have been identified since this procedure has been issued. (General) Verify that Associate Director, OSC has assigned a Hold Control Sheet Tracking Coordinator. (Para. 4.3.2)			

* 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
2	Verify that the hold point has been initiated by issuing the Hold Control Sheet (HCS). (Paras. 6.1.1 and 6.1.2)		
3	Verify that the Responsible Director (RD) has notified each affected organization, by memorandum, requesting input regarding impacts. (Para. 6.1.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Determine how disputes were resolved. (Para. 6.1.4)		
5	Verify that the RD has signed/dated HCS to authorize emplacement of the hold point. (Para. 6.1.5)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
6	Verify that a number for HCS was obtained and entered into the Hold Tracking Status System by the Tracking Coordinator. (Paras. 6.1.5 and 6.1.6)		
7	Verify that the Tracking Coordinator signs HCS and returns it to the RD. (Para. 6.1.7)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
8	Verify that RD transmit HCS to affected organizations and requests a written acknowledgement. (Did he receive acknowledgements?) (Para. 6.1.8)		
9	Verify that the affected organization has incorporated the hold point into the appropriate planning, schedules, or work sequence documents. (Para. 6.1.10)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
10	Determine if any work has reached a designated hold point and that the RD was notified. (Paras. 6.2.1 and 6.2.2)		
11	Determined if any hold points have been cancelled or changed. (Para. 6.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
12	Verify that the RD provided a written justification for the cancellation. (Para. 6.3.2)		
13	Verify that the cancellation or change was accomplished by issuing a new HCS. (Paras. 6.3.3 through 6.3.6)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
14	Determine if any hold points have been conditionally released. (Para. 6.4)		
15	Verify that the RD has authorized the conditional release by completing that section of the HCS. (Paras. 6.4.1 and 6.4.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
16	Verify that the RD has signed/dated the HCS and notified the affected organizations. (Paras. 6.4.3 and 6.4.5)		
17	Verify that the Tracking Coordinator has updated the System for the conditional release. (Para. 6.4.4)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
18	Determine if any hold points have been released. (Para. 6.5)		
19	Verify that the RD has completed the release portion of the HCS and has notified the affected organizations. (Paras. 6.5.3 and 6.5.5)		

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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 Tracking Coordinator has maintained the Hold Status Tracking System. (Para. 6.6.1)		
21	Verify that the Tracking Coordinator has prepared and distributed a Monthly Summary Report with the following information: a. HCS Number b. Brief description of affected work c. Conditions for release d. Responsible organizations e. Status f. Affected organizations g. Hold Point date h. Forecast completion date (Paras. 6.6.2 and 6.6.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
22	Verify that QA Records have been generated: Hold Control Sheet (Para. 7.0)		
23	Verify that procurement documents provide notice to affected organizations, external to OCRWM, that they must recognize and comply with hold point process. (Para. 5.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
24	Evaluate the adequacy of the procedure. (General)		
25	Verify that RD is familiar with this procedure. (General)		

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DATES OF EVALUATION NOV. 30 TO DEC. 9, 1992			

CONTROLLING DOCUMENT (Title, Number, Revision) QAAP 5.1, REVISION 3, <i>Preparation and Revision of QAAPs</i>	ACTIVITY EVALUATED <i>Preparation and Revision of QAAPs</i>
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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	<p>Sample QAAPs within the OCRWM Quality Assurance Program that were prepared, reviewed, and approved after October 1992 to verify that they were prepared in accordance with QAAP 5.1, Revision 3.</p> <p>Sample Record Packages for the following documents should be reviewed at HQ:</p> <p>QAAP 2.2, Revision 1, <i>Verification of Personnel Qualifications</i>, effective 1/27/92; QAAP 2.7, Revision 1, <i>Management Assessment</i>, effective 11/12/91; QAAP 2.10, Revision 0, <i>Hold Points</i>, effective 4/10/92; QAAP 16.1, Revision 4, <i>Corrective Action</i>, effective 11/12/91;</p>		

* 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
1.	Verify that for new QAAPs, the preparer develops the QAAP in accordance with Subsections 5.1 and 5.2. (Para 6.1.3)		
2.	Verify that the Director, OQA, initiates the formal review process by completing the top portion of the Document Review Record (DRR), including the identification of the review and acceptance criteria, in accordance with Paragraph 5.1.6; identification of the reviewing Associate or Office Directors, in accordance with Paragraph 5.1.3; and the establishment of a realistic comment due date. (Para. 6.2.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3.	Verify that the reviewers perform the review using the specified review and acceptance criteria referenced on the DRR and identify their mandatory comments in accordance with Paragraph 5.1.6. (Para. 6.2.4)		
4.	Verify that each affected Associate or Office Director provides the Director, OQA, with a consolidated set of comments on a single set of DRRs for subsequent resolution. (Para. 6.2.5)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
5.	Verify that when the comment does not meet the mandatory comment criterion of Paragraph 3.2.3, the QAAP preparer may, with the concurrence of the Director, OQA, change the designation and document the justification for the change in the RESPONSE block and the change is concurred with by the reviewer. (Para. 6.3.2)		
6.	Verify that an acceptable response to a mandatory comment is reached in accordance with Paragraph 5.1.6 through 5.1.8, and that the QAAP preparer indicates acceptable resolution by signing and dating the DRR. (Para. 6.3.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
7.	Verify completion of the mandatory comment resolution process to ensure the QAAP preparer revises the document as necessary and forwards the completed draft QAAP along with the completed DRR package to the Director, OQA. (Para. 6.3.4)		
8.	Verify that the QAAP preparer signs the revision record and transmits the draft QAAP revision and the revision record to the responsible Associate or Office Director (Para. 6.4.4)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
9.	Verify that the responsible Associate or Office Director evaluates each proposed revision as <i>Major</i> or <i>Minor</i> , in accordance with the definitions provided in Paragraphs 3.2.2 and 3.2.4; documents the decision and justification on the revision record, and; signs in the block provided. (Para. 6.4.5)		
10.	Verify that the responsible Associate or Office Director completes the RECOMMENDED TRAINING block of the revision record. (Para. 6.5.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
11.	Verify that the Director, OQA, obtains the concurrence of the Associate Director affected by/responsible for the document, signs the concurrence block on the QAAP title page, and forwards the QAAP (by memorandum) to the Director, OCRWM, soliciting the Director's signature on the QAAP title page. (Para. 6.7.1)		
12.	Verify that the responsible Directors are familiar with this procedure. (General)		

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DATES OF EVALUATION NOV. 30 TO DEC. 9, 1992			

CONTROLLING DOCUMENT (Title, Number, Revision) <i>QAP 5.1, Revision 4, Quality Assurance Program Procedures</i>	ACTIVITY EVALUATED <i>Quality Assurance Program Procedures</i>
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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	<p>Sample QAPs, ILPs, and APs within the OCRWM Quality Assurance Program that were prepared, reviewed, and approved after May 18, 1992 to verify that they were prepared in accordance with QAP 5.1.</p> <p>Record Packages for the following documents should be reviewed:</p> <p>QAP 3.5, Revision 2, <i>Technical Document Preparation</i>, effective 5/18/92 QAP 5.1, Revision 4, <i>Quality Assurance Program Procedures</i>, effective 5/18/92 QAP 6.2, Revision 0, <i>Document Review</i>, effective 5/18/92 QAP 18.2, Revision 5, <i>Audit Program</i>, ICN #1 effective 10/12/92 QAAP 5.2, <i>Preparation and Revision of Implementing Line Procedures</i>, Revision 2.</p>		

* 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
1.	Review Document Action Requests submitted for each document to verify completeness. DARs should have the following: <ul style="list-style-type: none"> a. Unique identification number b. Identification of Responsible Director (new documents only) 		
2.	Verify that there are no more than four outstanding DARs against a single QAP. (5.1.2.B)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3.	For initial development (Revision 0) procedures:		
3a.	Verify the Responsible Director obtains a unique procedure number as described in QAP 5.1 Section 6.1. (5.2.1.A)		
3b.	Verify that procedures meet the format and content requirements of QAP 5.1 Attachments 8.2 and 8.3. (5.2.2.b)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
<p>4.</p> <p>4a.</p> <p>4b.</p>	<p>For modifications to procedures (Revisions, ICNs, and Cancellations):</p> <p>Verify the Responsible Director recorded the numbers of previously approved DARs held for future changes that were to be incorporated in the present modification in the comments block of the DAR that initiated the modification. (5.3.1.a)</p> <p>Verify the method of modification is marked in section 14 of the DAR. (5.3.1.b)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
5.	For ICNs against procedures: Verify that the Document Preparer develops draft replacement pages that incorporate the changes identified on the approved DARs. (5.3.2.b)		
6.	For Revisions to procedures:		
6a.	Verify the Responsible Director obtains a unique revision number as described in QAP 5.1 Section 6.3. (5.3.1.c)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
6b.	Verify that revised procedures meet the format and content requirements of QAP 5.1 Attachments 8.2 and 8.3. (5.3.3.b)		
6c.	Verify that revisions to procedures incorporate the changes identified on approved DARs. (5.3.3.a)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7. 7a.	For procedure cancellations: Verify that a memorandum documenting procedure cancellation has been prepared for each cancelled procedure in accordance with and approved DAR (5.3.4).		
7b.	Verify that cancellation memorandums include the following: Justification for the cancellation identification of any continuing requirements incorporated into other documents, and the effective date of the cancellation.		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8.	Clarify the difference between a minor change, a major change, an interim change, and a major change. Can an interim change be a major change? Can a revision be a minor change? Does the procedure give enough guidance on the differences?		
9.	For Major Changes to procedures: Verify the Responsible Director initiated a review in accordance with QAP 6.2, <i>Document Review</i> . (5.4.a)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
10.	Verify the Responsible Director forwards an information copy of the review package to the appropriate training organizations for their use in developing training materials. (5.4.d)		
11.	<p>For Major Changes and Minor Changes to procedures:</p> <p>Verify changes are identified with a vertical line in the margin adjacent to the change unless the Revision History indicates that the entire procedure has been revised.</p>		

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12.	Verify the Responsible Director has indicated the recommended training and obtains the appropriate training organization's indication of the number of days required to complete training in Section III of the DAR. (5.5.1.b)		
13.	Verify the Responsible Director has indicated completion of the requested action by signing and dating the block provided in Section III of the DAR. (5.5.1.c)		

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14.	Verify the Responsible Director has specified the effective date of the procedure or modification, providing sufficient time for the completion of training. (5.5.1.d)		
15.	Verify the Responsible Director signs and dates the approval block on the procedure title page or signs the cancellation memorandum. (5.5.1.e)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
16.	Verify the Director, OQA indicates concurrence with the approved document by signing and dating the block provided on the procedure title page, or by signing and dating the cancellation memorandum. (5.5.2)		
17.	Verify the Responsible Director submits the document for distribution in accordance with QAAP 6.1, Document Control or AP-1.5Q, Issuance, and Maintenance of Controlled Documents. (5.5.3.c)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
18.	Verify the Responsible Director directs the assembly of QA records in accordance with Section 7.0 of QAP 5.1. (5.5.3.d)		
19.	Review QAP 5.1 against the Quality Assurance Requirements Document to verify appropriate requirements have been adequately incorporated into the document.		

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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 responsible Director is familiar with the procedure. (General)		

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DATES OF EVALUATION NOV. 30 TO DEC. 9, 1992			

CONTROLLING DOCUMENT (Title, Number, Revision) QAAP 6.1, Revision 2, Document Control	ACTIVITY EVALUATED Control of QA Documents
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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
1.	Identify Controlled Documents covered by this procedure and verify that the responsible Associate or Office Director approves controlled distribution of documents within their primary areas of responsibility. (Para. 6.2.1)		

* 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.	<p>Verify that the following is submitted to the Director, OQA, for documents covered by this procedure. (Para. 6.2.2)</p> <p>a) One approved (signed) document original;</p> <p>b) The required distribution list for initial issue of the document or requested changes, if any, to the existing distribution list for the document or Manual, and;</p> <p>c) Special instructions for distribution, if any, required or recommended.</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3.	Verify that requests for changes to the controlled distributions lists are made by memorandum and directed to the Director, OQA. (Para. 6.5.2)		
4.	Verify that when a document holder is removed from a distribution list, the Director, OQA, notifies the person, via a Document Transmittal, to destroy the document, mark it "SUPERSEDED", or return it to the OQA. (para. 6.5.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
5.	Verify that at least annual copies of the distribution list for each controlled document or group of controlled documents are transmitted by the Director, OQA, to the Director, OCRWM, and the Associated or Office Directors for review and updating. (para. 6.5.4)		
6.	Verify that the Director, OQA, ensures that: <ul style="list-style-type: none"> a) Each controlled document has a unique title or number and effective date identified on the document; b) Each controlled copy is identified in accordance with paragraph 5.5; c) Each controlled copy is assigned a unique copy number, and; d) Records indicate the assigned copy holder of each controlled copy by copy number. (Para. 6.2.3) 		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
7.	<p>Verify that the Director, OQA, has established and maintains a controlled document index. The index shall consist of one or both of the following, (Para. 6.2.4):</p> <p>a) A table of contents for each controlled manual that identifies each document in the manual by number, title, revision or ICN number, and effective date. A new table of contents shall be issued each time a document is added or revised.</p> <p>b) For documents not controlled as part of a controlled manual, a list identifying each such individually controlled documents. The list shall identify each document by number and title, revision or ICN number, and effective date. This index, if required, shall be updated annually or as major changes occur and distributed to the document recipients.</p>		
8.	<p>Verify that the Director, OQA, prepares a Document Transmittal for each distribution of a controlled document and distributes a copy of the Document Transmittal with the controlled copy of all personnel on the approved distribution list. (Para. 6.3.1)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
9.	Verify that the Director, OQA, forwards one uncontrolled copy of each controlled document to the OCRWM central Records Facility for inclusion in the Records Information System. (Para. 6.3.2)		
10.	Verify that the Director, OQA, makes a record of the return of the Document Transmittal including the document number, revision number, date the recipient signed the acknowledgement, controlled copy number, and recipient that acknowledges receipt. (Para. 6.3.4)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
11.	Verify that if the Document Transmittal has not been signed and returned to OQA by the specified acknowledgement date, that the Director, OQA, formally requests the controlled document be updated or takes appropriate action. (Para. 6.3.6)		
12.	Verify that revisions and ICNs to the controlled documents are controlled in the same manner as the original controlled document. The effective date and revision number shall be plainly visible on the document cover sheet. (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
13.	Verify that the Document Transmittal instructs the recipient to destroy or return superseded material or clearly label it "SUPERSEDED". (Para. 6.4.2)		

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DATES OF EVALUATION NOV. 30 TO DEC. 9, 1992			
CONTROLLING DOCUMENT (Title, Number, Revision) QAP 6.2, Revision 0, <i>Document Review</i>		ACTIVITY EVALUATED <i>Preparation and Revision of QAPs</i>	
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 in a manner consistent with instructions provided. (Para. 5.1.a, also see checklist for QAP 5.1)		
2.	Verify that the specified review criteria is appropriate. (Para. 5.1.b)		

* 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
3.	Verify that the organizations assigned to review the document are properly identified and that the applicable review criteria are specified for each reviewer are on the DRR. (Para. 5.1.c and required by QAP 5.1, Revision 4, Para. 5.4.b. & c.)		
4.	Verify that a reasonable review date has been established. (Para. 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 DRRs and Comment Sheets are signed, dated and forwarded to the appropriate reviewing organizations. (Para. 5.1.e)		
6.	Verify that document reviewers perform the review using the assigned review criteria. (Para. 5.2.a)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7.	Verify that comments are documented on the Comment Sheet and that mandatory comments are appropriately coded. (Para. 5.2.b & c)		
8.	Verify that DRRs are appropriately signed and returned to the review coordinator. (Para. 5.2.d & e)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9.	Verify that the review coordinator reviews comments, develops responses and modifies the document as appropriate. (Para. 5.3.1.a, b & c)		
10.	Verify that the modified document and copies of all DRRs and Comment Sheets with responses are forwarded to the document reviewers for acceptance. (Para. 5.3.1.d)		

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

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
13.	Verify that disputes are adequately resolved. (Para. 5.3.3.b, c & d)		
14.	Verify that the review coordinator identifies additional organizations, as appropriate, to encompass all areas of expertise covered in the document subject to review. (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
15.	Verify that the document reviewers have sufficient training, experience and access to appropriate background information to ensure adequacy of the review. (Para. 6.2.3, also, see checklist for QAP 2.1)		
16.	Perform a detailed review of the DRRs and Comment Sheets to determine the adequacy and depth of the review. (General)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
17.	Verify that the completed DRRs and copies of the documents reviewed are collected and maintained as QA records. (Para. 7.0, see checklist for QAP 5.1)		
18.	Review QAP 6.2 against the Quality Assurance Requirements Document to verify that QA Requirements have been adequately translated into the procedure. (General)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
19.	Verify that the responsible Directors are familiar with this procedure. (General)		

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DATES OF EVALUATION November 30 - December 9, 1992			

CONTROLLING DOCUMENT (Title, Number, Revision) <i>Corrective Action, QAAP 16.1, Rev. 4</i>	ACTIVITY EVALUATED Corrective Action
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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
1	Select a sample of open and recently closed Corrective Action Requests (CAR). Verify that when a CAR is written it is initiated in accordance with Attachment I, Steps 1 - 7. (Para 6.1.1)		

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

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2	<p>Verify that the appropriate QADD evaluates CARs for validity of the identified condition, based upon the criteria in Para 5.1 and:</p> <ul style="list-style-type: none"> • when determined invalid, verify that the QADD documents justification and returns the CAR to the initiator for concurrence. (Para 6.1.2) <p>NOTE: If the initiator does not agree that the CAR is invalid, the matter shall be elevated to the Director, OQA for resolution.</p>		
3	<p>Verify through review of selected CARs that each has a unique number and is entered in a log in accordance with Para 5.2. (Para 6.1.3)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
4	<p>Verify that the selected CARs have been processed by the QAR in accordance with the required actions of Attachment I, Steps 9 -12. (Para 6.1.4)</p> <ul style="list-style-type: none"> • Was the CAR evaluated to determine if it represented a significant condition adverse to quality, based upon the criteria in Para 5.3? (Para 6.1.5) • If the CAR represented a "significant condition adverse to quality," was the CAR evaluated to determine if a stop work condition existed based on the criteria in Para 5.4? (Para 6.1.5.2) • Are the types of corrective action required for resolution of the condition adverse to quality clearly indicated on the CAR? (Para 6.1.7) 		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
5	<p>If a stop work condition exists, verify that the QAR: (Para. 6.1.6)</p> <ul style="list-style-type: none"> • immediately provided verbal notification to the Director, OQA that a stop work condition has been identified. • initiated a Stop Work Order (SWO) in accordance with QAAP 16.2. 		
6	Verify that CARs contain the response due date. (Para 6.1.8)		
7	Verify that the appropriate QADD signed and dated the CARs. (Para 6.1.9)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
8	Verify that the open CAR files, maintained by the CAR Coordinator, contains the <u>original</u> CAR and copies of transmittal memorandums or letters and that the log is updated to reflect changes that occurred and the CAR Summary Sheet identifies all relevant correspondence. (Para 6.1.11 and Para 7.0)		
9	Verify that CARs are transmitted to the following: <ul style="list-style-type: none"> • the Director, OQA - for all CARs issued to a Responsible Manager within the areas of responsibility of OQA, and for all CARs identified as significant conditions adverse to quality. (Para 6.1.12 & 6.1.13) • The OCRWM Associate or Office Director having line responsibility - for all CARs identified as significant condition adverse to quality when the Responsible Manager to whom the CAR is issued is not an OCRWM Associate or Office Director. (Para 6.1.13) 		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
10	Verify that CARs responded to contain a corrective action response and are signed and dated by the Responsible Manager. (Para 6.2.1) NOTE: Format for documenting CAR responses is shown in Attachment III.		
11	Verify that the Responsible Manager submitted a written request for extension, including appropriate justification prior to the due date if the requested response due date was not met. (Para 6.2.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
12	Verify that extension requests have been responded to, by the appropriate QADD, via a letter or memorandum, indicating approval or disapproval. (Para 6.2.3)		
13	Verify that the QAR evaluated the CAR responses to ensure that it addressed the required elements and that the proposed actions are sufficient to resolve the adverse condition. (Para 6.3.1)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
14	When the response is acceptable, verify that the original CAR form is signed and dated by the QAR and the appropriate QADD. Also verify that the Responsible Manager is notified of acceptance. (Para 6.3.1.1)		
15	When the response is unacceptable, verify that the Responsible Manager was notified by letter or memo requesting an amended response. Also verify the request included the reasons or justification for the unacceptable determination. (Para 6.3.1.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
16	Verify that already submitted CAR responses were only changed via an amended response to OQA. (Para 6.2.1)		
17	<p>Verify that upon completion of the required corrective actions the QAR verified that the accepted actions identified in the response have been satisfactorily implemented. The verification shall be documented on a CAR Continuation Sheet including objective evidence reviewed. (Para 6.4.1)</p> <ul style="list-style-type: none"> • If implementation was found complete and acceptable, verify that the QAR signs the CAR indicating verification complete. (Para 6.4.1.1) • If implementation was found incomplete, unacceptable, or could not be verified, verify that a letter or memo was issued to the Responsible Manager, delineating specific details of the required corrective actions found to be satisfactory and unsatisfactory including recommendations for correction, in addition this memo shall request an amended response. (Para 6.4.1.2) 		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
18	Verify that the QADD issues a letter or memo notifying the Responsible Manager that the CAR is closed. (Para 6.5.1)		
19	Verify that closed CAR packages are assembled by the CAR Coordinator and processed in accordance with QAAP 17.1 or QMP-17-01 for submittal to the QRC or LRC. (Para 6.5.2 and Para.7.0)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
20	Verify that any changes to previously issued CARs are documented along with the justification on a CAR Continuation Sheet. (Para 6.6.1)		
21	Verify that changes which indicated an increase in scope of the previously reported condition were reevaluated in accordance with Para 6.1. (Para 6.6.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
22	If an issued CAR was determined to be invalid, verify that complete justification is documented along with signatures and dates of those involved in the decision and the CAR was closed in accordance with Para 6.5. (Para 6.7.1)		
23	Verify that if all individuals involved did not agree that the CAR was invalid, the matter was elevated to the Director, OQA for resolution. (Para 6.7.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
24	Verify that the CAR Coordinator provides periodic status reports to the Director, OQA and the applicable QADD. (Para 6.8.1)		
25	Verify that the CAR Coordinator periodically identifies CARs that have not been responded to by the response due date and notifies the QAR for resolution. (Para 6.8.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
26	Verify that when violation of established due dates persist or when unsatisfactory responses continue, the QADD directs the matter to the attention of the appropriate management as described in Para 5.6. (Para 6.8.3)		
27	Verify that completed CARs and CAR continuation sheets (including CARs voided after issuance), responses, CAR Summary Sheets, and relevant correspondence listed on CAR Summary Sheets are included in the QA Records, as applicable. (Para 7.0)		
28	Verify that the responsible individual(s) are familiar with this procedure. (General)		

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QUALITY ASSURANCE CHECKLIST

ORGANIZATION EVALUATED OCRWM HQ		<input type="checkbox"/> EXTERNAL	<input checked="" type="checkbox"/> AUDIT	PREPARED BY <u>HANK GREENE</u> DATE <u>11/17/92</u>
DATES OF EVALUATION November 30 - December 9, 1992		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	
CONTROLLING DOCUMENT (Title, Number, Revision) QAAP 16.2 REV 1 <i>STOP WORK</i>			ACTIVITY EVALUATED	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		* RESULTS
	Obtain a listing of the latest CAR log and any Stop Work Orders (SWO) issued since the last OCRWM HQ audit. From the CAR log, pick a sample of CARs designated as "Significant Conditions Adverse to Quality". Utilizing this sample verify that the Quality Assurance Representative (QAR) has evaluated each "Significant" CAR to the requirements in Para 5.4 of QAAP 16.1, and documented the results on Item 10 of the CAR form. (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
1	Verify that the QAR initiates a written SWO when evaluation performed in accordance with QAAP 16.1 indicates that a stop work condition exists. (Para 6.1.1)		
2	Verify that the SWO indicates that the Director, OQA has approved the SWO and has verbally notified the Responsible Director or COR. (Para 6.1.2 & 6.1.3)		
3	Verify that the SWO is issued by the Director, OQA as required by procedure for internal OCRWM work. (Para 6.1.4)		
4	Verify that the SWO is issued by the Director, OQA as required by procedure for external OCRWM work. (Para 6.1.5)		

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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 Responsible Director or the appropriate DOE Contracting Officer (CO) instructs the affected organization to "respond in writing within 24 hours that the designated work has been stopped." (Para 6.2.1 & 6.2.2)		
6	Verify that the Director, OQA authorizes partial restart of work (by memo) after satisfactory verification of appropriate portions of corrective action. (Para 6.3.2)		
7	Verify that the Director, OQA issues the restart approval for the SWO based upon the satisfactory verification of the CAR. (Para 6.3.3)		

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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
8	Verify that the closed SWO and related correspondence are maintained in the QA Records package for the associated CAR. (Para 7.0)		
9	Evaluate the adequacy of the procedure.		
10	Verify that the Responsible Director is familiar with this procedure. (General)		

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DATES OF EVALUATION November 30 - December 9, 1992		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	
CONTROLLING DOCUMENT (Title, Number, Revision) <u>QAAP 17.1, Rev. 2 QA Records Management</u>			ACTIVITY EVALUATED <u>QA Records Management</u>	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		* RESULTS
	Determine the number of QA Record packages closed by the QRC since the last HQ audit. (General)			

* 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
1	Verify that originators are marking QA Records with "QA" in upper right hand corner. (Para. 6.3.2)		
2	Verify that originators are meeting the following requirements: a) QA Record is authenticated by signature/initials and date or attached cover letter b) QA Record is complete/all attachments c) Written/typed records are legible, reproducible, and microfilmable. d) all drafts are marked "Draft" (Para. 6.3.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3	<p>Verify that record transmittals include the following: (Para. 6.3.4)</p> <ul style="list-style-type: none"> a) Package identification number b) Record title c) Record date d) Number of pages e) Special instructions f) Name/location of the person submitting record g) One-of-a-kind/special process information (Para. 6.4) 		
4	<p>Verify that formal (no preliminary) draft of documents comply with the following:</p> <ul style="list-style-type: none"> a) Marked draft on the front page b) Comments on drafts recorded on separate document c) Copies of draft comments are filed with final approved document <p>(Para. 6.5)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
5	<p>Verify that the QRP validator is complying with the following:</p> <ul style="list-style-type: none"> a) Arrange document in a sequence b) Purge duplicates, etc. c) identifies missing records (slip sheets) d) Identifies one-of-a-kind/special processing e) Verifies each record is properly marked (authenticated, correct, reproducible) f) Corrections are made IAW para. 6.8 g) Completed Table of Contents <ul style="list-style-type: none"> 1. logical order 2. One-of-a-kind/special processing 3. QRP No./Rev. in upper right corner h) Signs/Dates "validated by" <p>(Paras. 6.7.2 through 6.7.7)</p>		
6	<p>Verify that corrections to records are being accomplished IAW para. 6.8 of QAAP 17.1.</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
7	Verify that QA Records are protected from deterioration, loss, or damage. (Para. 6.9)		
8	Review the process for replacing lost or damaged QA Records. (Para. 6.10)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
9	Verify that the QRC maintains a microfilm copy of QA Records Packages as a OCRWM working file. (Para. 6.11.1)		
10	Verify that QA Records are being maintained for this procedure: <ul style="list-style-type: none">• QA Records List• Authorized validator lists• QA Record Transmittals (Para. 7.0)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
11	Verify that RD is familiar with this procedure. (General)		
12	Evaluate the adequacy of this procedure. (General)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	<p>Determine status of response to CAR-HQ-92-017</p> <ul style="list-style-type: none">• Plans for implementation• Training conducted• New QA Records Packages (since Sept.)• New QA Records Transmittals (since Sept.)		

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DATES OF EVALUATION November 30 - December 9, 1992		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	
CONTROLLING DOCUMENT (Title, Number, Revision) QAAP 18.1, Rev. 3, Qualification of Audit Personnel			ACTIVITY EVALUATED Qualification of Audit Personnel	
ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		RESULTS
1	Verify that the Director, OQA qualifies auditors based upon experience, possession of adequate audit skills, training, and supporting documentation (Para. 6.1).			
2	For individuals certified as Lead Auditors by OCRWM while holding current NQA-1 or N45.2.23 certification, verify that: <ul style="list-style-type: none"> The Director OQA reviewed previous certification documentation; and The individual satisfactorily completed training required by the OCRWM QA Program (Para. 6.2.1.1) 			

* 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
3	<p>For individuals certified as Lead Auditors by OCRWM who had expired NQA-1 or N45.2.23 certification, verify that:</p> <ul style="list-style-type: none"> • The individual demonstrated maintenance of proficiency consistent with Paragraph 6.3.1 requirements; • The individual received training in the OCRWM QA Program; and • The Director, OQA reviewed previous certification documentation (Para. 6.2.1.2) 		
<p>QUESTIONS 4-7 APPLY ONLY TO LEAD AUDITORS NOT CERTIFIED PRIOR TO OCRWM CERTIFICATION</p>			
4	<p>Verify that the prospective Lead Auditor's communication skills have been evaluated and documented by the individual's supervisor (Para. 6.2.2.1).</p>		
5	<p>Verify that the individual participated in a minimum of 5 QA audits within the three years prior to qualification, including one nuclear QA audit within one year prior (Para. 6.2.2.3).</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify that the individual successfully completed an examination (oral, written, practical, or a combination of the three) that evaluates comprehension of, and ability to apply, the body of knowledge (Para. 6.2.2.4).		
7	Verify that the individual has accumulated 10 verifiable credits as outlined in Attachment II (Para. 6.2.2.5).		
8	Verify that the Director, OQA has performed annual evaluations of Lead Auditors and extended qualification, required retraining, or required requalification based upon the Lead Auditor's: <ul style="list-style-type: none"> • Participation in at least one QA audit per year; or • Review and study of audit-related documents; or • Documented participation in training programs. (Para. 6.3.1-6.3.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
9	Verify that Lead Auditors who fail to maintain their proficiency for two years or more are required to be requalified (Para. 6.3.4).		
10	Verify that Technical Specialists have: <ul style="list-style-type: none"> • Qualified as Auditors in accordance with QAAP 18.1; or • Read and signed Attachment IV prior to participating on an audit (Para. 6.4). 		
11	Verify that the Director, OQA maintains a qualification/certification file for each Lead Auditor and a listing of personnel currently certified as Lead Auditors (Paras. 6.5.2 & 6.6.5).		

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DATES OF EVALUATION 11-30 through 12-9-92		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	
CONTROLLING DOCUMENT (Title, Number, Revision) QAAP 18.2, Rev. 5, <i>Audit Program</i>			ACTIVITY EVALUATED Audit Program	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		* RESULTS
1	Verify that an audit schedule is developed by the Director, OQA and identifies internal and external audits planned for the fiscal year. (Para. 6.1.1)			

* 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 the audit schedule identifies as a minimum: a) Organizations to be audited b) Location and date c) QA program elements to be audited (Para. 5.2)		
3	Verify that the Director, OQA reviews the audit schedule, at least quarterly, and the schedule is revised, as necessary, to assure adequate coverage. (Para. 6.1.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
4	Verify the transmittal of updated schedules identifies any major changes with appropriate justification. (Para. 6.1.2)		
5	Verify that audit schedules and updates are sent to Associate and Office Directors, TPO's and QA Managers. (Para. 6.1.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify that the Director, OQA appoints an ATL for each audit. (Para. 6.2.1)		
7	Verify that personnel with appropriate technical knowlege are assigned as audit team members to evaluate technical aspects of processes and products (QAPD, Rev. 3, para. 18.4)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8	Verify the ATL develops an audit plan using the format shown in Attachment No. 1. (Para. 6.3.1)		
9	Verify the ATL signs and dates the audit plan indicating the audit team is qualified and the plan reflects the required information. (Para. 6.3.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
10	Verify the ATL prepares an audit notification letter. (Para. 6.3.3)		
11	Verify the Director, OQA approves and issues the audit plan and letter to the appropriate organization. (Para. 6.3.4)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
12	Verify that checklists or marked-up procedures are used by the auditors to guide their audit activities. (Para. 6.3.6)		
13	Verify that preaudit and post audit meetings are conducted and documented as shown in Attachment No. 3. (Paras. 6.3.7 and 6.5.1)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
14	Verify the audit team: a) Examines objective evidence to determine effective implementation b) Maintains a list of personnel contacted c) Completes audit checklist or marked-up procedures. d) Notifies ATL and/or audited organization of potential deficiencies. (Para. 6.4.1)		
15	Verify the ATL conducts daily meetings with the management of the audited organization to report progress and status of the audit. (Para. 6.4.3) (refer to Audit Plan)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
16	Verify that the audit team members provide an adequacy and effectiveness statement for the activities they audited. (Para. 6.4.4)		
17	Verify the audit report is prepared using a format similar to the example shown in Attachment IV. (Para. 6.6.1)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
18	Verify that all relevant information from the checklist or marked-up procedures used by the audit team is addressed in the audit report or associated CARs. (Para. 6.6.2)		
19	Verify the ATL prepares the audit report transmittal letter. (Para. 6.6.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
20	Verify the ATL signs the audit report. (Para. 6.6.4)		
21	Verify the audit report and transmittal letter is approved by the Director, OQA, and distributed to the audited organization. (Para. 6.6.5)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
22	Verify that copies of the audit report is distributed to other affected organizations. (Para. 6.6.5)		
23	Verify the completed audit record package is submitted to the appropriate records center as prescribed in Section 7.0. (Para. 6.6.6)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
24	Verify that RD is familiar with this procedure. (General)		

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DATES OF EVALUATION 11-30 through 12-9-92		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	
CONTROLLING DOCUMENT (Title, Number, Revision) QAAP 18.3, Rev. 5, <i>Surveillance Program</i>			ACTIVITY EVALUATED Surveillance Program	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		* RESULTS
1	Verify that a surveillance schedule is developed by the Director, OQA. (Para. 6.1.1)			

* 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 the surveillance schedule contains as a minimum: a) Organizations to be surveilled b) Location and date c) Activities to be surveilled		
3	Verify that the Director, OQA reviews the surveillance schedule at least quarterly. (Para. 6.1.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
4	Verify that transmittal of updated schedules identifies any major changes with appropriate justification. (Para. 6.1.3)		
5	Verify that copies of surveillance schedules and updates are distributed to the Associated and Office Directors. (Para. 6.1.4)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
6	Verify that if a pre or post surveillance meeting is held, the Attendance Record (Attachment No. 2) is used to document attendance. (Para. 6.3.1)		
7	Verify that surveillance results are documented on a checklist or marked-up procedure. (Para. 6.3.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
8	Verify that the surveillance report is prepared using the format shown in Attachment III. (Para. 6.4.1)		
9	Verify the surveillance report: a) Describes the results of the surveilled activities in brief, concise statements. b) Indicates if the requirements associated with the surveilled activities were complied with. (Para. 6.4.2)		

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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
10	Verify that any CARs, written as a result of the surveillance, are referenced in the surveillance report. (Para. 6.4.3)		
11	Verify that the surveillance report is: a) signed by the STL as preparer b) Sent to Director, OQA, for review and approval. (Para. 6.4.4)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
12	Verify that copies of the surveillance report is distributed to: a) Organization surveilled b) Affected Associate and Office Directors (Para. 6.4.5)		
13	Verify the completed surveillance record package is sent to the appropriate records center in accordance with Section 7.0.		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
14	Verify that RD is familiar with this procedure. (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. Hugh Lentz</u> DATE <u>11/11/92</u>
DATES OF EVALUATION November 30 - December 9, 1992		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	
CONTROLLING DOCUMENT (Title, Number, Revision) ILP 12.17.01, Rev. 2 <i>Quality Records Center Implementing Line Procedure</i>			ACTIVITY EVALUATED Quality Records Center	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		* RESULTS
	Determine the number of QA Record Packages handled by the QRC Since the last HQ Audit. (General)			

* 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
1	Verify that the QRC manager is provided the following information by the originating organization: a) List of QA records/packages b) List of authorized personnel (Para. 6.1.1)		
2	Verify that QA Records Package (QRP) is identified, a log is established for each organization, and a list of individual records for each package. (Para. 6.1.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3	Verify that the QRC has signed/dated the transmittal and returns the original. (Para. 6.2.1)		
4	Verify that the QRC is inspecting received records and handling special process/one-of-a-kind records IAW procedure. <ul style="list-style-type: none"> • Rejection Records • QA Record transmittal information • Special processing/one-of-a-kind information (Paras. 6.2.2 and 6.2.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
5	Verify that QA training/qualification records are being handled as privileged records. Verify that access is strictly controlled. (Para. 6.2.4)		
6	Verify that the QRC is resolving record problems with the originator. <ul style="list-style-type: none">• Rejection record/tracking number• Photocopy of deficient record• Rejection record log• Acceptable replacement within (10) days (Para. 6.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
7	Verify that the completed record package is reviewed by the originating organization. <ul style="list-style-type: none"> • Table of Contents • One-of-a-kind record • Record Notice Sheet (Para. 6.4)		
8	Review procedure for corrections or missing QA Records. <ul style="list-style-type: none"> • Record corrections • Missing records (slip sheets) • Revisions to Table of Contents (Para. 6.5)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
9	Verify that QA Record Packages are transmitted to CRF. <ul style="list-style-type: none">• Photocopy of transmittal• Signed transmittal back from CRF.• Copy of microfilm (Para. 6.8) (Para. 6.6)		
10	Verify that QRC has controlled access for QA Records. (Para. 6.9)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
11	Verify that QRC maintains storage/protection of QA Records. <ul style="list-style-type: none"> • Cabinets in 1 hour fire rated room • Special processed record storage • Privileged records in locked files and separated or color-coded files • Microfilm in metal cabinets • List of personnel with authorized access • Smoking/food prohibited during handling of records • Use of outcards (Paras. 6.10 and 6.11)		
12	Verify that QRC collects QA Records IAW this procedure/QAAP 17.1 <ul style="list-style-type: none"> • QA Records Package Log • Rejection records • Rejection record log • QRC Records Package Transmittal • QRC Record Retrieval Request (Para. 7.0)		

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13	Verify that QRC manager is familiar with this procedure. (General)		

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ORGANIZATION EVALUATED OCRWM HQ		<input type="checkbox"/> EXTERNAL	<input checked="" type="checkbox"/> AUDIT	PREPARED BY <u>Lester W. Wagner</u> DATE <u>11/19/92</u>
DATES OF EVALUATION November 30 - December 9, 1992		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	
CONTROLLING DOCUMENT (Title, Number, Revision) <i>Records Management: Las Vegas Record Source Responsibilities, AP-1.18Q, Rev. 1, ICN 10</i>			ACTIVITY EVALUATED QA Records	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		* RESULTS
1	Verify that YM OQA has designated a individual(s) titled "Record Source". (Section 3.11 and Section 5.0, Step 2)			
2	Verify that the "Record Source(s)" are trained. (Section 3.11 and Section 5.0, Step 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
3	Verify that the YM OQA Record Source is determining record types. (Section 5.0, Step 5.a)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
4	Verify through a review of record packages that the Record Source prepares individual records or record packages in accordance with Appendix A. (Section 5.0, Steps 5 & 6)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
5	Verify through a review of record packages that the Record Source has adequate methods (in accordance with Appendix B) for protecting documents that may become records or record packages. (Section 5.0, Step 7)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
6	Verify through a review of record packages that the Record Source has submitted records or record packages to the LRC in accordance with Appendix D. (Section 5.0, Step 8)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
7	Verify through a review of record packages that the Record Source has acceptable methods resolving record discrepancies with the LRC in accordance with Appendix C. (Section 5.0, Steps 9, 10 & 11)		

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DATES OF EVALUATION November 30 - December 9, 1992					
CONTROLLING DOCUMENT (Title, Number, Revision) <i>Project Office Indoctrination and Qualification Training, QMP-02-01, Rev. 6</i>			ACTIVITY EVALUATED Indoctrination and Training of OQA		
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		* RESULTS	
1	Select a sample of several individuals in the YM QA group who have recently performed audits, surveillances and/or Technical/QA document reviews. Verify "Position Qualification" forms have been properly completed for selected YM QA individuals. (Section 5.0, Step 6)				

* 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	<p>Verify for the selected individuals: (Section 5.0, Steps 7, 13, 16, 17, 21, 26, & 27)</p> <ul style="list-style-type: none"> • Training Assignment forms have been properly completed. • Required training was completed prior to performing quality affecting work (or evidence that the specific necessary training has been completed is available). • Training that was not completed prior to assigned completion date is documented. 		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3	<p>Verify that indoctrination, covers the following as a minimum: (Section 5.0, Steps 7, 13, 17, 21, 26, 30 & 34)</p> <ul style="list-style-type: none"> • General criteria, including applicable codes, standards, and company procedures. • Applicable quality assurance program requirements. • Job responsibilities and authority. 		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
4	<p>Verify for the selected individuals: (Section 5.0, Steps 30, 31, 32, 34, 35 & 36)</p> <ul style="list-style-type: none"> • "Self Study" forms have been properly completed. • Required self study was completed prior to performing quality affecting work (or documented evidence that the specific self study necessary has been completed, is available). • Self study not completed prior to assigned completion date has been documented. 		

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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 selected individuals have had their education and experience verified and results documented. (Section 5.0, Step 11)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
6	Verify selected individuals have documented the results of maintenance of training and/or additional training made necessary due to changes in procedures, methods technology or job responsibilities. (Section 5.0, Steps 20, 29 & 33)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
7	<p>Verify the selected individuals training records contain the following forms, memos, etc., as a minimum: (Section 5.0, Steps 9, 11, 19 & 39 and Section 8.0)</p> <ul style="list-style-type: none">• Position Description• Applicable memoranda and correspondence such as, notifications of inability to complete a training assignment or notification of employee termination.		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
8	Provide a statement as to the overall adequacy and effectiveness of this procedure.		

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ORGANIZATION EVALUATED OCRWM HQ (YM)		<input type="checkbox"/> EXTERNAL <input checked="" type="checkbox"/> INTERNAL	<input checked="" type="checkbox"/> AUDIT <input type="checkbox"/> SURVEILLANCE	PREPARED BY <u>Marlin Horseman</u> DATE <u>11/16/92</u>	
DATES OF EVALUATION November 30 - December 9, 1992					
CONTROLLING DOCUMENT (Title, Number, Revision) QMP-16-03, Rev. 1 and ICN 2, <i>Standard Deficiency Reporting System</i>			ACTIVITY EVALUATED QA Trending		
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		* RESULTS	
	<p><u>Note:</u></p> <p>QMP-16-03 is being phased out (replaced by QAAP 16.1). As of 11/16/92 only 2 SDRs remain open. ICN 2 (10/90) required all deficiencies of this type to be initiated in accordance with QAAP 16.1</p> <p>This audit will emphasize a review of SDR final closure and records processing.</p>				

* 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
1	<p>Obtain a listing of the latest SDRs issued (<u>Note</u>: all should be before 10/90) and select a sample to review for appropriate closure and record processing activities. (General)</p> <p>Verify that corrective actions taken for the selected SDRs have been verified and Block 20 has been signed by the verifier. (Para. 5.5.1.1)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
2	Verify that any requests for extension have been justified, prepared, and processed. (Paras. 5.5.2, 5.5.3, and 5.5.2.2)		
3	Verify that SDR closure has been accomplished in accordance with QMP-16-03. (Para. 5.6 or 5.7)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify that SDR documentation has been processed in accordance with QMP-17-01 requirements. QA Records include: SDRs and supporting documentation; SDR Continuation Sheets; DERs; SDR Severity Level Checklists; Observation Forms. (Section 8.0)		