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AUDIT/SURVEILLANCE
NO YMP-93-07-01

QUALITY ASSURANCE CHECKLIST

ORGANIZATION EVALUATED	[x] EXTERNAL	[x] AUDIT	
CRWMS M&O	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY Amelia I. Arceo DATE 2/12/93
DATES OF EVALUATION			
3/1-5/93			

CONTROLLING DOCUMENT (Title, Number, Revision)	ACTIVITY EVALUATED
QAP 6-1, Revision 1, Document Control	

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	QAP 6-1, REVISION 1, PARA. 5.1.1, "DOCUMENT CONTROL"		
1	Verify that controlled documents are distributed to and available at the location where the prescribed activity is performed.		
	PARA. 5.1.2		
2	Verify that revisions to previously issued controlled documents are issued by the Document Control Center (DCC) in the same manner as the original or prior release.		

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

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	PARA. 5.1.3 Verify that document control information includes the following and are updated at various points as information is created or becomes available. a. Document title b. Originating department/organization c. Date distributed to each participant d. Revision designation e. Document number, when applicable		
4	PARA. 5.1.4 Verify that unresolved issues between the DCC staff and the originator are elevated to the next level until resolved.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	PARA. 5.1.5		
5	Verify that the creation and approval process required in document preparation are described in the procedures that address those functions or document types.		
	PARA. 5.1.6		
6	Verify that for documents that require verification but need to be released prior to verification: a) The unverified portions are clearly identified as "Verification Pending," b) Are restrictively controlled, c) Authorized for release only by the appropriate signature authority, and d) The basis for their release is documented.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	PARA. 5.2 Verify that the originator of a controlled document: a) Determines appropriate identifiers. b) Completes the Document Control Action Request (DCAR), Attachment I, including any instructions to be passed on to the recipient of the documents. c) Obtain the approval signature of responsible manager. d) Compile the controlled document package consists of the following: 1. Master of the document to be controlled. 2. Initial distribution list of instructions. 3. Completed and approved DCAR.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8	PARA. 5.3 Verify that the DCC: a) Prepares Controlled Document Instructions (CDIs), Attachment II. b) Reproduces from the master document and identifies each document as a controlled copy. c) Distributes the controlled document and CDI to each recipient on the initial distribution list. d) Checks the document information at least weekly to identify recipients who have not acknowledged receipt within 20 working days of issue and to whom inquiries have not previously been sent. e) Transmits inquiries on the CDI to all recipients who have not acknowledged receipt. f) Issues decontrol notice using CDI to the recipient and the recipient's responsible manager, when the recipient did not respond within an additional 20 working days.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	PARA. 5.3		
9	Verify that the recipient:		
	a) Follows the instructions on CDI, signs and returns the CDI to DCC within 20 working days.		
	b) Maintains the controlled document in storage location where the document is both protected and readily available to the recipient in the performance of work.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	PARA. 5.4		
10	Verify that DCC: a) Prepares lists of controlled documents issued to all recipients at least once annually. b) Transmits the list to each recipient. c) Recipients identify needed additions to or deletions from document distribution lists, and submits DCAR to the DCC. d) Based on the request, adds new recipient and deletes a recipient to the list. e) Decontrols a controlled copy and issues a new copy only when requested. f) Reassigns controlled copy from one recipient to another. g) Advises recipient to return controlled documents to DCC. h) Decontrols a controlled copy but allowing the recipient to retain the copy stamped "Uncontrolled." i) Provides a copy of uncontrolled document stamped "Uncontrolled" that can be used for information purposes only.		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	PARA. 5.4		
11	Verify that:		
	a) The following are submitted as a QA records package:		
	1. DCARs with issuance instructions for a new controlled document.		
	2. CDIs		
	3. Initial Distribution List		
	b) The quarterly submittal of DCARs for the purpose other than issuing new documents.		

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ORGANIZATION EVALUATED	[x] EXTERNAL	[x] AUDIT	PREPARED BY James Blaylock DATE 2/23/93
CRWMS M&O	[ ] INTERNAL	[ ] SURVEILLANCE	
DATES OF EVALUATION			
3/1-5/93			

CONTROLLING DOCUMENT (Title, Number, Revision)	ACTIVITY EVALUATED
NSP 6-1, Revision 1	

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	NSP-6-1, REVISION 1, DOCUMENT AND RECORD CENTER: DOCUMENT CONTROL GROUP		
1	Verify document control verifies receipt of: a. Approved master document b. Completed transmittal form with instructions and distribution for document c. Approved change directive and document change notice for documents requiring FCCB approval d. Document title, identification number, and revision level on document and transmittal		

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

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify transmittal stamped with DRC received stamp, signed, and copy retained		
3	Verify "First Submittal" on mylar or document if first time receipt by DRC for issuance.		
4	Verify recipient number assigned, entered into CDIS, entered with "Field Controlled Copy" stamp, and transmittal created and returned to Document Control within 20 working days.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify decontrol after 40 working days if transmittal receipt not returned.		
6	Verify changes to Design Documents include: a. Approved document received from FCCB secretary. b. Entry of FCR information into CDIS, copy written instructions from FCCB secretary with return of original instructions to FCCB. c. Review of written instructions for imported documents by DRC and removal of master documents from file. FCR changes posted on master documents by posting stamp or applique. d. Review of issue log and CDIS database to determine impact on line or distributed controlled documents. If no impact, issue as new document. e. Cross-reference change document to impacted documents in CDIS database and/or "Notes and Flags" area of issue log.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	Verify impacted, line, temporary controlled documents processed.		
8	Verify processing of Request for Field Control Document (RFCD) to include: a. Completed form b. Assignment of temporary control number on entry into issue log or CDIS c. Verification by DRC that document is current d. Addition of temporary control number and expiration date to FC storage.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9	Verify handling of revised design documents to include: a. Destruction of all hardcopies of superseded documents and incorporated changes b. Review to assure open FCRs have been incorporated c. Review of line documents impacted by revision to include actions for temporary documents which are impacted		
10	Verify recertification of temporary expired controlled documents.		

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CRWMS M&O	[ ] INTERNAL	[ ] SURVEILLANCE	
DATES OF EVALUATION			
3/1-5/93			

CONTROLLING DOCUMENT (Title, Number, Revision)
NSP-6-2, Revision 0

ACTIVITY EVALUATED

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	NSP-6-2, REVISION 0, NEVADA SITE DOCUMENT REVIEW TRACKING PARA. 5.1, RECEIPT AND DISTRIBUTION OF DOCUMENTS TO BE REVIEWED		
1	Verify the following: 1. The NS Document Review Tracking staff verifies that documents received to be distributed for review, have not been previously received and that they contain the following: (Next Page)		

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

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
1 Cont.	a. The titled document, including information that identifies the type of procedure b. A distribution list of designated reviewers, if generated by NS personnel c. A required or suggested review due date d. Authors name and organization 2. The NS Document Review Tracking staff enters the above information into the database in the appropriate column as follows: a. Column A = Date Received b. Column B = Title of Document c. Column C = Procedure Number and Revision Number d. Column D = Author/Assigner e. Column E = Due Date f. Column F = Designated Reviewers		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
1	3. The NS Document Review Tracking staff creates an informal memorandum that requests the designated reviewers comments by the due date and any other pertinent information. 4. The NS Document Review Tracking staff distributes copies of any related paperwork with the subject document to the designated reviewers.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	PARA. 5.2, OVERDUE RESPONSES Verify the following: 1. The NS Document Review Tracking staff contacts designated reviewers that have not responded by the required due date. If necessary, the NS Document Review Tracking staff contacts the appropriate manager to ensure Document Review Records (DRRs) or Procedure Review Records (PRRs) are received. 2. When Department and/or Office Managers request additional review time, the NS Document Review Tracking staff notifies the document author of these requests.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	PARA. 5.3, COMPILATION OF COMMENTS		
3	Verify the following: 1. The NS Document Review Tracking staff compiles and logs the date the comments are received from the reviewers and the date the comments are transmitted to the authors in Columns G and H of the database. 2. The NS Document Review Tracking staff ensures completed DRR/PRRs are received. 3. The NS Document Review Tracking staff contacts the author and requests the author to appropriately complete the DRR/PRRs when not received. 4. For NS documents requiring signature from the NS Manager or other NS personnel, the NS Document Review Tracking staff logs the date the final document is received for signature in Column I in the database and sends the document to be signed along with verification of comment resolution (e.g., memorandum or DRR/PRR copies) and logs the date sent in Column J in the database.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	PARA. 5.4, PREPARATION OF RECORD PACKAGES Verify the following: 1. In coordination with the document author, the NS Document Review Tracking staff assists in the compilation of a records package that contains the draft document and related correspondence that was sent out for review, the completed DRR/PRRs, and the final document and log the information in Column K of the database. 2. The NS Document Review Tracking staff logs the date the records package is completed and transmitted to the LRC. 3. The NS Document Review Tracking staff maintains copies of transmittal for completed records packages until the records packages have been microfilmed.		

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CRWMS M&O	[ ] INTERNAL	[ ] SURVEILLANCE	
DATES OF EVALUATION			
3/1-5/93			

CONTROLLING DOCUMENT (Title, Number, Revision)

ACTIVITY EVALUATED
Criteria 15

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	NONCONFORMANCE REPORTING		
1	Why doesn't the M&O QAPD address Criteria 15?		
2	Verify the M&O has an implenemting procedure for the dispositioning and processing of NCRs.		
3	What is the status of the NCR submitted to Foust from REECo on 1/21/93?		

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

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ORGANIZATION EVALUATED	[x] EXTERNAL	[x] AUDIT	PREPARED BY Gerard Heaney	DATE 2/23/93
CRWMS M&O	[ ] INTERNAL	[ ] SURVEILLANCE		
DATES OF EVALUATION				
3/1-5/93				

CONTROLLING DOCUMENT (Title, Number, Revision)	ACTIVITY EVALUATED
M&O QAPD, Revision 3	QA Program Element 16

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
1	QAP 16-1, REVISION 0, CORRECTIVE ACTION Verify the following M&O QAPD, Revision 3 requirements are contained within implementing procedures: Significant conditions are evaluated to determine root cause, generic implications to the program, immediate remedial corrective action, and action to preclude recurrence.		

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

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS *Record objective evidence reviewed, method of verification, personnel contacted*	RESULTS
1 Cont.	Conditions adverse to quality are evaluated to determine the degree of significance, root cause, and actions required to correct deficiencies and preclude recurrence. Verify QA verifies corrective action and that the verification document is part of the close-out process. QAP 16-1, "CORRECTIVE ACTION REPORT," REVISION 0, PCN 1 PARA. 5.1.3		
2	Verify reasons for not validating CARs is documented.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	PARA. 5.2.1		
3	Verify that CARs meeting the description of this paragraph are marked significant.		
	PARA. 5.3		
4	Verify significant CARs have a root cause identified.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	PARA. 5.4.5		
5	Verify that extensions are requested in writing prior to due dates.		
	PARA. 5.6.1		
6	Verify that a CAR Status Log exists.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	TRENDING		
7	Verify QAP 2-4 contains the requirements of QAPD paragraph 16.7.		

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CRWMS M&O	[ ] INTERNAL	[ ] SURVEILLANCE	
DATES OF EVALUATION			
3/1-5/93			

CONTROLLING DOCUMENT (Title, Number, Revision)	ACTIVITY EVALUATED
QAP 17-1, Revision 2, Program Records Mgmt.	

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
1	Verify that incoming records are checked for the following attributes: WBS number (if applicable) QA Designation Title - Descriptive Reference to SCP (if applicable) Draft on first page draft documents Authentication of records or records packages Legibility Completion of blanks Black ink Accession number		

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

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify M&O Records Sources protect records: From liquids and moisture Heat sources Magnetic fields if magnetic media Lock/secure when not in use or unattended		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify Records source submit records/records package segments within 10 working days of completion to the LRC. Records packages shall have a Table of Contents with the following information: a. Records package identifier and designation - check QRP designated packages b. WBS number and quality designation of "QA" or QA: N/A" c. Title, date, and number of pages d. Signature and date of records source or authorized authenticator		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Corrections to Program Records a. Initial request informal - how tracked? b. LRC issues Record Discrepancy Notice if (a) fails - who initiates and tracks? c. Record sources have 10 days to resolve discrepancy through: 1. Transcription or enhancement of illegible portion; must be initialed dated and submitted with original record, or 2. Statement that documents impact of illegible, uncorrected, or incomplete information.		
5	Paragraphs 5.6.4 and 5.6.5 are inconsistent - why?		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Correcting records/records packages subsequent to submittal to CRF. a. Corrected or supplemented pages shall be submitted or b. New records/records package submitted with identification that it supersedes package... c. New Table of Content for AMB		

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QUALITY ASSURANCE CHECKLIST

ORGANIZATION EVALUATED	[x] EXTERNAL	[x] AUDIT	
CRWMS M&O	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY James Blaylock DATE 2/23/93
DATES OF EVALUATION			
3/1-5/93			

CONTROLLING DOCUMENT (Title, Number, Revision)
QAP 17-2, Revision 0, Program Records Mgmt.

ACTIVITY EVALUATED

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
1	Verify R&H/LRC have one-hour fire-rated containers for QA records and records packages when not in use.		
2	Verify privileged records segregated from other records.		

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

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify signed transmittal forms among/between R&H, LRC, and CRF.		
4	Verify duplicate checking of records and discrepancy checking of record according to criteria in Attachments III through VI.		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Records found to be deficient are informally resolved if possible. Check controls on retransmittal/control of such records.		
6	Verify use of Record Discrepancy Notice (RDN) for resolution of records failing to meet acceptance criteria; return date to be ten working days after date on RDN, with follow-on evaluation of discrepancy to Record Source's manager if not resolved within 20 days.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	Verify R&H staff member assigns accession number for transmittal to CRF.		
8	Verify transmittal of records to CRF: a. Sequentially by current accession number b. Security fastened c. Receipt of delivery, retain for twelve months		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9	Verify Special Instruction Sheet (Attachment IX) prepared for Oversized/One-of-a-kind and Electronic Records.		
10	Verify validation lists from M&O managers for signature verification on records/record packages by LRC/R&H: a. LRC/R&H compare records/records packages with Transmittal/Receipt Acknowledgment initiated by sender. b. LRC/R&H signs if no discrepancies found. c. If discrepancy found LRC/R&H staff member contacts sender; if not resolved, return to sender.		

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f	Comment: 5.13.7 and 5.7 seem to duplicate same information on Discrepancy Screening.		
11	Verify that records segments are assigned a records package tracking number from an LRC records package log.		
12	Verify the dated list of designated personnel with access to records within LRC and list for access to privileged records.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
13	Verify records returned from LRC to Records Source for corrections, changes or additions are noted by signatures and dates in a log or form that includes title date, and number of pages of the record. The package is to be returned within ten working days of removal.		
14	Verify documentation of lost or damaged records by letter or memorandum with signature by Record Source and Responsible Manager.		

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CRWMS M&O	[ ] INTERNAL	[ ] SURVEILLANCE	
DATES OF EVALUATION			
3/1-5/93			
CONTROLLING DOCUMENT (Title, Number, Revision)			ACTIVITY EVALUATED
QAP 17-4, Revision 0			

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	QAP 17-4, REVISION 0, PROGRAM RECORDS MANAGEMENT: MICROFILMING PROGRAM RECORDS PARA. 5.1, MICROGRAPHICS STANDARDS		
1	Verify that the micrographics specifications and standards identified in 36 CFR, Part 1230 are met. 1. All program records microfilmed on silver halide roll film use formats described in ANSI/AIIM MS14 for microfilming source documents on 16mm and 35mm roll film. 2. When microfilming on 35mm roll film for aperture card applications, the format dimensions in ANSI/AIIM MS32, Table 1, and the aperture card format "D Aperture" shown in ANSI/AIIM MS41, Figure 1, are used.		

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

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
1 Cont.	3. A reduction ratio of 24:1 is used for 16mm roll film. 4. Only polyester-based silver gelatin type film that conforms to ANSI IT9.1 is used. 5. Processed microfilm and aperture cards are tested for the residual thiosulfate ion concentration, which do not exceed 0.014 grams per square meter in accordance with ANSI IT9.1. Processing shall be in accordance with processing procedures on ANSI/AIIM MS1 and MS32. 6. Program microfilm records have a minimum resolution of 3.6 (a quality index of 5 at the third-generation level), which is determined by the Quality Index Method as described in ANSI/AIIM MS32 and MS43. Resolution tests shall be performed using the NIST-SRM 1010a, Microcopy Resolution Test Chart (a calibrated and certified photographic reproduction), as specified in ISO 3334 (the standard practice for using the test chart). 7. The density on microfilm is appropriate to the type of records being filmed. The procedure for density measurement is described in ANSI/AIIM MS32, and the densitometer shall meet the requirements set forth in ANSI/ISO 5/3 for spectral conditions and ANSI/ISO 5/2 for geometric conditions.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	PARA. 5.2, PREPARATION OF RECORDS FOR MICROFILMING Verify the following: 1. Upon receipt of records to be microfilmed, a Microfilm staff member verifies that a Batch Sheet is included. The Microfilm staff member shall acknowledge receipt of the records and shall document receipt on the Daily Microfilming Log (Attachment I). NOTE: Program records marked "PRIVILEGED RECORDS" are to be processed separately from all other program records. In addition, privileged records from different participants are not to be mixed on the same roll of film. 2. A Microfilm staff member reviews the Batch Sheet to verify receipt of all records. 3. Paper clips, staples, bindings, or any other mechanical fasteners are removed from records to prepare them for microfilming. The edges of pages shall be straightened and torn areas shall be taped using non-reflective tape. 4. A Microfilm staff member ensures that records are in order (have not been rearranged while being prepared) and that all targets are in place and ready to be filmed.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	PARA. 5.3, CAMERA PREPARATION Verify the following: 1. When film lot numbers change or camera relocation takes place, a Step Test is performed to ensure that film and camera locations are conducive to producing quality results. (See manufacturer's manuals for instruction.) 2. The Microfilm staff member performs daily pre-operational maintenance activities on the microfilm camera prior to microfilming in accordance with manufacturer's published recommendations. 3. A Microfilm staff member loads the two rolls of film into the camera. 4. Film units containing film is removed from the camera and placed in temporary storage when the camera is not in service.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	PARA. 5.4, MICROFILMING RECORDS Verify the following: 1. The Microfilm staff uses the appropriate camera for the type of record being filmed (i.e. 8 1/2 x 11 inch records shall be filmed on 16mm roll film; records larger than 11 x 17 inches shall be filmed on 35mm roll film). NOTE: Privileged records shall be microfilmed on rolls separate from all other records and shall be clearly identified as "PRIVILEGED." 2. To begin microfilming a Microfilm staff member assigns the next available sequential roll number to the film roll before loading. Only one number shall be assigned to each roll. The assigned staff member shall ensure that the roll number is also recorded on the Start of Roll Target (Attachment II) and the End of Roll Target (Attachment III). 3. A Microfilm staff member records the designated roll number for the document category (e.g., mail, records package, etc.) on the Daily Microfilming Log.		

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4 Cont.	4. A Microfilm staff member completes the Certificate of Authenticity Start Target (Attachment IV) and the Certificate of Authenticity End Target (Attachment V). The Microfilm staff member shall sign the certificates as the "Authorized Individual." 5. A Microfilm staff member films the following targets in the order listed below at the beginning of each roll: a. Resolution Target (Attachment VI) b. Density Target (i.e. a blank sheet of 8 1/2 x 11 inch white paper) c. Start of Roll Target d. Certificate of Authenticity Start Target NOTE: It is not necessary to film the batch sheet that accompanies the records. 6. A Microfilm staff member ensures that records are face-side-up and that the camera does not imprint over printed data, if possible. 7. A Microfilm staff member ensures that both sides of two-sided pages are microfilmed.		

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4 Cont.	8. After each record is filmed, a Microfilm staff member checks each page for the roll and frame number imprint and reassembles the record in the manner in which it was submitted. 9. A Microfilm staff member films the following targets in order at the end of each roll: a. Certificate of Authenticity End Target b, End of Roll Target c. Density Target d. Resolution Target 10. If the filming of a group of records begins on one roll and continues on the next, the Microfilm staff shall: a. Record the new roll number on a Continued On Target (Attachment VII). b. Film the Continued On Target after the last page of the last record filmed on the first roll, followed by the appropriate end target sheets. c. Record the original roll number on a Contained From Target (Attachment VIII). d. Begin a new roll with the appropriate start target sheets.		

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4 Cont.	e. Film the Continued From Target before the first page of the next record in the batch. 11. After filming, A Microfilm staff member unloads both rolls of exposed film from the camera. 12. A Microfilm staff member labels each film box with the following information: a, Roll number b. Camera identification c. General category of documents on the roll d. Participant's name e. The designation "Silver Master A" or "Silver Master B" to distinguish the rolls for tracking purposes f. The designation "Top" or "Bottom" to identify the location of the exposed film within the film unit.		

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4 Cont.	NOTE: Release "Restricted" labels to both sides of all program "PRIVILEGED RECORD" microfilm rolls and to the two largest sides of each microfilm box containing such film. 13. The hardcopy record is forwarded for further processing according to CRWMS M&O QAP 17-5, Program Records Management: Indexing Program Records.		

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	PARA. 5.5, REFILMING RECORDS		
5	Verify the following:		
	1. During filming, a Microfilm staff member identifies and corrects errors such as skewing, overlapping of two or more records, etc., by:		
	a. Obliterating the existing roll and frame number on each affected page before refilming		
	b. Deactivating the imprinter		
	c. Filming the Retake Notice Sheet (Attachment IX)		
	d. Adjusting the camera's image-address control, as necessary, and reactivating the imprinter		
	e. Refilming the identified pages correctly		
	f. Continuing the filming of the record/group of records in process.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5 Cont.	2. Upon completion of filming, the Microfilm staff member performs a quality control review of roll and frame number imprints for each roll filmed. If errors are discovered during this quality review, the Microfilm staff member shall correct errors by: a. Removing the existing roll and frame number on each affected page before refilming b. Completing and filming a Correction Target (Attachment X), which includes a reason for the refilming c. Refilming the entire record(s), including any attachments d. Filming an End of Correction Target (Attachment XI) at the end of the refilmed pages e. Recording the accession number and the original roll and frame numbers, as well as the new microfilm identification, on the Daily Microfilming Log. 3. When correcting filming errors in records packages, the entire package must be refilmed.		

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6	PARA. 5.6, TRANSMITTING MICROFILM FOR PROCESSING Verify the following: 1. Microfilm staff member labels each film box before forwarding undeveloped microfilm (Silver Masters) to the PMC for processing. 2. A Microfilm Processing Transmittal (Attachment XII) is completed to accompany the film and a copy is retained. (Not necessary when handcarried to PMC.) 3. The submittal is documented on the Microfilm Tracking Log (Attachment XIII).		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	PARA. 5.7, MICROFILM QUALITY CONTROL REVIEW Verify the following: 1. Once the Microfilm staff receives diazo copies of acceptable microfilm, a Microfilm staff member conducts a review of one of the diazo rolls to verify the legibility of the microfilm images and to ensure the completeness of the rolls. This review shall be documented on the Microfilm Tracking Log. 2. If deficiencies on the microfilm roll are identified, the Microfilm staff takes corrective action to resolve discrepancies. After all corrections are completed and documented, the Microfilm staff member shall notify the appropriate CRF staff to make any necessary changes to the record system. 3. If no deficiencies exist, the diazo copy shall be stored in the LRC/CRF.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	SECTION 6.0		
8	Verify that the Microfilm Tracking Log is maintained.		

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CRWMS M&O	[ ] INTERNAL	[ ] SURVEILLANCE	
DATES OF EVALUATION			
3/1-5/93			

CONTROLLING DOCUMENT (Title, Number, Revision)	ACTIVITY EVALUATED
QAP 17-5, Revision 0	

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
1	QAP 17-5, REVISION 0, PROGRAM RECORDS MANAGEMENT: INDEXING PROGRAM RECORDS PARA. 5.1, HANDLING OF PROGRAM RECORDS Verify that the following requirements are followed to maximize document security: 1. While Program records are in transit from one location to another, they shall be bound and secured or otherwise contained to prevent loss. Binder clips, folders, mailcarts, and other devices shall be used to secure transportation of records.		

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

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
1 Cont.	2. QA records and quality records packages being processed or maintained in the CRF shall be secured, labeled, and stored in one-hour file-rated container or facilities. The container shall bear a UL label (or equivalent) certifying one-hour file protection or be certified by a person competent in the field of fire protection.		
	3. Non-QA records and non-quality records packages being processed by CRF staff members shall be secured, labeled, and placed in locked cabinets or locked rooms at the close of business and any other times during which CRF staff members are not in attendance.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
1 Cont.	4. Privileged records not in use shall be secured in CRF restricted-access storage facility.		
	5. CRF staff members shall keep food, beverages, and lighted smoking materials away from records and record packages and shall protect records from loss or theft.		
	6. CRF staff members shall ensure that records or records packages that are lost or damaged and are not longer complete and/or legible while in their possession shall be replaced, restored, or recreated. If records are lost, CRF staff members shall immediately conduct a physical search. If necessary, CRF staff members shall contact the LRC for further assistance.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	PARA. 5.2, RECEIPT, REVIEW, AND PREPARATION OF RECORDS/RECORDS PACKAGES FOR INDEXING Verify the following: 1. Upon receipt of records at the CRF, the designated staff member prepares a Batch Sheet (Attachment I) to accompany the records throughout processing, noting all accession numbers of records received. Any comments provided by the Receipt and Handling staff (annotated on the transmittal) shall be documented on the Batch Sheet. 2. The designated staff member signs and dates the transmittal and return it to the Receipt and Handling staff. 3. The designated staff member performs an up-front quality review of each record/records package prior to microfilming to ensure that prescribed screening/accessioning procedures have been appropriately applied. Any discrepancies (e.g., privileged records mistakenly grouped with non-privileged records) shall be resolved with the Receipt and Handling staff before further processing.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2 Cont.	4. If the discrepancy results in the deletion of accession numbers, these numbers are to be tracked. 5. The designated staff member separates the group of records into smaller indexing batches, assigns unique batch numbers, and records the batch information on the Batch Tracking Log (Attachment II). Records contained in a records package shall be maintained as a unit; these records are not separated into smaller batches for indexing assignments. Privileged records shall also be maintained as a unit and shall be processed separately from non-privileged. NOTE: The staff member may complete an internal batch control sheet to track these smaller indexing batches during the indexing process. 6. Each indexing batch is assigned to CRF staff member to be indexed online into the Mail/Append Database.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	PARA. 5.3, INDEXING Verify the following: 1. The designated staff member dates and initials the Batch Tracking Log to indicate batch assignment and return of completed batches. 2. The designated staff member performs indexing for all assigned documents using the OCRWM Indexing Manual. All applicable information from each document shall be indexed into the Mail/Append Database, including: a. Bibliographic information (e.g, title, document date) b. Programmatic data including Source Organization, Project ID, Accession Number, Microfilm Address, WBS Number and QA Status c. Topical information including subject terms (Keywords), when applicable, and Abstracts (if provided by author) d. An Access Control Code specifying the level of security for each record (e.g., PRI for privileged record) e. A Retention Classification Code for each record		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3 Cont.	3. A previously accessioned record included as an attachment to a newly accessioned record or as part of a records package is not indexed a second time. Its accession number shall be cross-referenced to its respective parent record.		
	4. When indexing records contained in a records package, the designated staff member treats the table of contents as the parent record. The transmittal or cover letter is, in turn, treated as the parent of the table of contents.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	PARA. 5.4, QUALITY CONTROL REVIEW Verify the following: 1. The CRF staff member designated to perform quality control (QC) review activities and track the review process generates a printout of reach batch of indexed records entered into the Mail/Append Database and perform a QC review. 2. The designated staff member ensures that the records listed on the Batch Sheet are indeed contained within the batch.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4 Cont.	3. The designated staff member reviews the information entered into the Mail/Append Database against the original records to ensure that the index of each record is accurate and complete, and that it complies with the instructions in the OCRWM Indexing Manual. The staff member shall mark the printout to indicate the appropriate changes needed to correct the index in the Mail/Append Database. 4. The designated staff member corrects the indexes in the Mail/Append Database as indicated on the printouts. Completed printouts may be discarded after corrections have been made. The staff member shall transfer the completed batches from the Mail/Append Database to the RIS Database and record this transfer in the Batch Tracking Log.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	PARA. 5.5, CORRECTED OR SUPPLEMENTAL RECORDS		
5	Verify that upon receipt, corrected or supplemental records are indexed and entered into the RIS Database and the appropriate information from the original record (e.g., Accession Number, Microfilm Address, etc.) are referenced to provide traceability and to preserve the integrity and authenticity of the record.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	PARA. 5.6, ACCOUNTABILITY OF ACCESSION NUMBERS		
6	Verify the following:		
	1. Twice a month, the designated staff member generates a listing of accession numbers entered into the RIS to account for all accession numbers assigned. This list shall be forwarded to the CRF manager for review.		
	2. If a discrepancy is identified, the CRF Manager initiates resolution activities as follows:		
	a. Reviewing the completed Batch Sheet		
	b. Searching the Mail/Append Database and/or RIS		
	c. Reviewing the list off deleted accession numbers		
	d. Reviewing the microfilm reel and/or conducting a physical search		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6 Cont.	3. If the discrepancy is resolved, necessary changes are made to the appropriate database.		
	4. If the discrepancy remains unresolved, the CRF Manager provides documentation to senior management for further analysis.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS *Record objective evidence reviewed, method of verification, personnel contacted*	RESULTS
	SECTION 6.0, RECORDS		
7	Verify that Access Lists for restricted storage are maintained.		

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CRWMS M&O	[ ] INTERNAL	[ ] SURVEILLANCE	
DATES OF EVALUATION			
3/1-5/93			

CONTROLLING DOCUMENT (Title, Number, Revision)	ACTIVITY EVALUATED
QAP 17-6, Revision 0	

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
1	QAP 17-6, REVISION 0, PROGRAM RECORDS MANAGEMENT: STORAGE, RETRIEVAL AND DISPOSITION OF PROGRAM RECORDS Verify the following: 1. Storage sites provide adequate protection against damage to records from environmental conditions (such as moisture, high and low temperatures, humidity, and pressure), natural disasters (such as winds, floods, and fires), and infestations of insects, molds, and rodents.		

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

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
1 Cont.	2. Records stored by M&O Contractor are maintained in appropriate containers in steel file cabinets, on shelving, or in safes or vaults, as appropriate. In addition, the following requirements are adhered to: a. The Silver Master microfilm rolls shall be wound on cores of noncorroding materials, such as nonferrous metals or inert plastics. b. The microfilm storage containers shall be similarly made of inert materials. c. These containers shall be kept closed at all times. d. Diazo and silver microfilm shall not be stored or transported together.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
1 Cont.	3. The sites make provisions for one-of-a-kind records and records such as oversized documents, negatives, and magnetic tapes to prevent damage from excessive light, stacking, electromagnetic fields, temperature, and humidity.		
	4. Privileged records are secured in the LRC/CRF restricted-access storage facility separate from other records.		
	5. Storage sites provide access to records as prescribed in Paragraph 5.8 of this procedure. Provisions shall be in place to prevent entry of unauthorized personnel to the storage areas.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	PARA. 5.2, DESCRIPTION OF STORAGE FACILITIES Verify the following: 1. Storage is provided for the permanent, archival storage of the official program records. The facility shall meet the requirements for a single storage facility in accordance with NQA-1 1989, Supplement 17S-1, Section 4.4.2. The facility shall also met the applicable requirements specified in 36 CFR Parts 1230 through 1234. 2. The designated CRF stores a second copy of the program record. The storage facility for the second copy shall meet the same requirements stated in Paragraph 5.2.1 of this procedure. 3. The PMC temporarily stores the processed silver microfilm awaiting shipment for permanent storage. The storage facility shall meet or exceed the requirements for temporary storage. 4. Privileged records not in use are secured in the CRF restricted-access storage facility separate from other records.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	PARA. 5.3, FILING SYSTEMS Verify the following: 1. Program records maintained on microfilm rolls are filed according to microfilm address (i.e. roll and frame numbers). 2. Program records maintained on aperture cards are stored according to the aperture card number indicated on each card. 3. Other program records are filed according to the accession number or other identifying number assigned as appropriate to the item (e.g., magnetic tape number, box number, etc.).		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	PARA. 5.4, RECEIPT OF MICROFILM Verify the following: 1. Upon receipt of the processed diazo microfilm from the PMC, the CRF staff verifies the microfilm rolls received against transmittals and document their receipt according to approved microfilming procedures. The processed microfilm shall be reviewed and verification documented according to the approved microfilming procedures. 2. Processed microfilm rolls containing privileged records are appropriately labeled and segregated to prevent release of information.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4 Cont.	3. The archival Silver Master, denoted Silver A, is the official microfilm program record and shall be protected accordingly. It shall be locked in a one-hour fire-rated safe or facility for storage until transmittal to permanent storage. 4. The Headquarters (HQ) CRF shall receive from the PMC one copy of the YMP diazo film to be retained at the HQ CRF for use in quality review, blow-back duplication, and other daily working tasks. The YMP CRF receives from the PMC one copy of the HQ diazo film to be retained at the YMP CRF. Upon receipt, the CRF staff shall verify the rolls received against the enclosed transmittal and perform the following: a. Sign and date the transmittal acknowledging receipt of the rolls, indicating any discrepancies on the transmittal. b. Return the signed transmittal to the originator. The CRF staff shall retain a copy of the transmittal for CRF files. The CRF staff shall resolve discrepancies with the originator.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4 Cont.	5. Upon instruction from OCRWM, the CRF may also receive Silver Master microfilms and other records from other program sites to be transmitted to permanent storage and/or stored at the CRF. These records shall be received, inspected, and verified against transmittals provided to the M&O Contractor by the originator before they are transmitted for storage.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	PARA. 5.5, STORAGE OF SILVER MASTER MICROFILM Verify the following: 1. Archival Silver Master microfilm (Silver A) is transmitted to the underground storage facility within 90 days unless space constraints at the PMC dictate the need for an interim transmittal. 2. The PMC staff transmits the Silver A microfilm to the underground storage facility in accordance with the following steps: a. The PMC staff completes a Storage Transmittal Form (Attachment I) in duplicate indicating the type of records contained on the microfilm. The PMC staff also completes any additional documentation required by the storage facility. b. The microfilm is shipped to the underground storage facility, and the storage facility personnel verifies receipt by returning the signed transmittal to the PMC. 3. The PMC staff transmits the second Silver Master Microfilm (Silver B) to the designated CRF for storage. This master shall be used as necessary for duplication of additional diazo rolls.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	PARA. 5.6, STORAGE OF ONE-OF-A-KIND RECORDS		
6	Verify the following: 1. One-of-a-kind records that cannot be microfilmed or duplicated because of their physical form or because the microfilm process would degrade the information in the records are maintained in their original form. Such records are treated on a case-by-case basis throughout processing. 2. The CRF Manager identifies any special handling and processing that these records may require and provide instructions to CRF staff as appropriate. The CRF Manager informs the storage facility personnel of any special storage requirements (for example, special stacking limitations or environmental conditions) and ensure that the necessary precautions are taken. 3. Once they are indexed, one-of-a-kind records are transmitted by the CRF staff to permanent storage.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	PARA. 5.7, STORAGE OF ELECTRONIC RECORDS		
7	Verify the following: 1. Electronic records, such as magnetic media and video tapes, are maintained in their original form. 2. Magnetic media are stored in a manner to protect the loss of information due to sources of magnetic fields. 3. Magnetic media are transmitted to the underground storage facility within 90 days unless space constraints at the CRF dictate the need for an interim transmittal. 4. The CRF staff transmits the magnetic media to the underground storage facility in accordance with the following steps: a. The CRF staff completes a Storage Transmittal Form (Attachment I) in duplicate indicating the type of records contained on the magnetic media. The CRF staff completes any additional documentation required by the storage facility. b. The magnetic media are shipped to the underground storage facility, and the storage facility personnel verifies receipt by returning the signed transmittal to the CRF.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7 Cont.	5. A second copy of the magnetic media, if available, is stored at the designated CRF. This copy is retained for routine use and duplication. 6. A statistical sample of the magnetic media in storage shall be reviewed annually to identify any loss of data and to discover and correct the causes of the data loss, as specified in 36 CFR 1234. The CFR Manager shall ensure that information is not lost because of changing technology or deterioration. 7. The CRF manager shall ensure that magnetic media in storage is cleaned and rewound under controlled tension every three and one-half years. This activity shall be documented. 8. The CRF Manager shall ensure that magnetic media is retrieved from storage and copied within 10 years of its creation. The new copy shall be stored, and the old copy shall be destroyed. This activity shall be documented.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8	PARA. 5.8, ACCESS TO RECORDS STORAGE FACILITIES Verify the following: 1. Access to program records is limited to staff whose responsibility requires it. The CRF Manager shall maintain a list of names of authorized staff members with access. The CRF Manager maintains a separate list, provided by the LRCs, of personnel authorized to review privileged records. Access to privileged records is limited to Record Sources, authorized supervisory personnel, records management staff, auditors, and other personnel specifically authorized to access these records by the CRWMS M&O QA Manager. The access list is posted on the outside of the storage facilities. Authorized staff ensures that the storage facilities are locked when not in use. 2. Access list is routinely updated by the CRF Manager when CRF staff or responsibilities change. Superseded access lists are to be filed and retained. 3. The CRF Manager, Records Manger, QA Manager, Microfilm Group Leader and at least one representative each from OCRWM IMD and QA have authorized access to the permanent records storage facilities. The CRF Manager notifies the permanent storage personnel of those individuals who have access to the permanent storage facility and of changes in authorized personnel.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	PARA. 5.9, RETRIEVAL OF PROGRAM RECORDS		
9	Verify the following:		
	1. Search and retrieval of records are performed using the Record Information System (RIS) computerized index. Requesters are given a hardcopy blowback from the diazo microfilm of the records requested. For records in process, photocopies of the hardcopy records are used. If any records cannot be retrieved, the CRF staff reviews the matter and reports it to the OCRWM IMD Records Manager in a timely manner.		
	2. Records are retrieved for official use purposes only. Requests for retrieval are processed by designated CRF personnel for requesters from M&O Contractor staff, OCRWM program staff, and other program participants. The CRF staff prepares a periodic report of RIS retrieval activities and submits it to the OCRWM IMD Records Manger. Requests for retrieval of records from individuals other than those listed above are processed by the CRF through the OCRWM IMD Director, cognizant program staff and/or Freedom of Information Officer.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9 Cont.	3. Access to privileged records are limited to Record Sources, authorized supervisory personnel, records management staff, auditors, and other personnel specifically authorized to access these records by the CRWMS M&O QA Manager.		
	4. The CRF staff has access to the RIS as prescribed by their job responsibilities. The CRF staff provides RIS search assistance to OCRWM Program staff and participants, as requested. The CRF Manager refers requests for access to the RIS by individuals other than program staff and participants to the OCRWM IMD Director.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS *Record objective evidence reviewed, method of verification, personnel contacted*	RESULTS
9 Cont.	5. Access to diazo microfilms stored in the CRF shall be limited to authorized M&O Contractor staff and program participants. The retrieval activity of diazo microfilm shall be monitored and controlled by the CRF staff. Any microfilm removed from storage for use in the CRF shall be signed out in the Microfilm Activity Log (Attachment II). Any authorized person whose work requires the removal of diazo microfilm for the CRF shall complete a Microfilm Request (Attachment III). The CRF Manager shall authorize the release of microfilm from the CRF. The CRF Manager shall provide a copy of the request form for the requester and maintain the original until the microfilm has been returned. Upon return of the microfilm, the Microfilm Activity Log shall be appropriately updated, and the request form copy may be discarded.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9 Cont.	6. Program records shall not be removed from the permanent storage facility unless required for testing, correction, or replacement. When retrieval from storage is necessary, the records shall be requested by the CRF Manager with OCRWM IMD approval. The CRF Manager shall maintain the Program Records Activity Log (Attachment IV), which identifies the records or microfilm removed, the date, the name of the authorized individual removing the records, the reason for removal, the approximate date on which the records or microfilm shall be returned, and the actual date the records are returned. 7. Retrieval at the permanent storage facilities shall be documented in accordance with contractual agreements.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	PARA. 5.10, VERIFICATION OF PROGRAM RECORDS MICROFILM QUALITY		
10	Verify the following: 1. The CRF Manager directs the permanent storage facility personnel to perform an inspection of program records at least once every two years in accordance with the requirements of 36 CFR Part 1230.22. 2. Upon receipt of the inspection log from the permanent storage facilities, the CRF Manager reviews the log and directs the PMC to take corrective action to replace the Silver Masters when the tests indicate deterioration. The CRF Manager maintains the log and transmits a copy of the inspection results to the National Archives and Records Administration (NARA).		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	PARA. 5.11, REPLACEMENT OF LOST OR DAMAGED PROGRAM RECORDS		
11	Verify the following: 1. The CRF staff notifies the CRF Manager when silver or diazo microfilm program records are lost or damaged. 2. If either the Silver Master A or B microfilm is lost or damaged, the CRF Manager ensures the remaining Silver Master microfilm is duplicated. The original microfilm is designated the Silver A for storage at the permanent storage facility, and the duplicated silver as the second master for storage at the designated CRF. A notice is written on the storage container of the duplicate indicating that it is a first-generation duplicate. The duplicate undergoes the same quality review applicable to all microfilm of program records. 3. If a diazo microfilm is lost or damaged, the CRF Manager ensures that a new diazo is reproduced from the Silver Master B.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	PARA. 5.12, STORAGE AND DISPOSITION OF HARDCOPY RECORDS		
12	Verify the following: 1. The CRF staff is responsible for storing all hardcopy documents that have been microfilmed, indexed, and quality reviewed. 2. The CRF staff stores boxes containing completed hardcopy records in a controlled storage area, accessible only to authorized staff, as designated by the CRF Manager. A list of authorized persons is posted at the storage area. Each box is clearly labeled on the outside to identify the records contained within, specifying the mail dates or backlog file descriptions, the microfilm numbers corresponding to the records, the date the records are boxed for storage, and a sequential box number to be assigned by the CRF staff.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
12 Cont.	3. Twice yearly the CRF Manager reviews the hardcopy records inventory and provides OCRWM with a status report of hardcopy records that have been in storage for six months or longer.		
	4. The CRF Manager obtains approval from the OCRWM IMD Director or designee to dispose of hardcopy records.		
	5. When the CRF Manager receives written disposition approval from OCRWM and NARA, the CRF Manager arranges for disposition of the designated records.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS *Record objective evidence reviewed, method of verification, personnel contacted*	RESULTS
	PARA. 5.13, DISPOSITION OF SILVER MASTER MICROFILM PROGRAM RECORDS		
13	Verify that both copies of Silver Master microfilm program records are classified as lifetime for disposition purposes and are protected and preserved as such in accordance with this procedure.		

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QUALITY ASSURANCE CHECKLIST

ORGANIZATION EVALUATED	[x] EXTERNAL	[x] AUDIT	
CRWMS M&O	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY James Blaylock DATE 2/23/93
DATES OF EVALUATION			
3/1-5/93			

CONTROLLING DOCUMENT (Title, Number, Revision)	ACTIVITY EVALUATED
NSP-17-1, Revision 1	

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	NSP-17-1, REVISION 1, YMSO: DOCUMENT AND RECORDS CENTER: RECORDS SERVICES OPERATIONS		
1	Verify receipt of records to include the following: a. Log and signing of incoming transmittal form and checking that records received coincide with transmittal description. b. Page counts agree with transmittal count. DCR signs transmittal for return and keeps copy.		

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

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify review of records for submittal to CRF to include: a. WBS number, CI number, and QA designation b. Authentication of QA records c. Completeness, legibility, and microfilmability without loss of information d. Correction dated and initialed e. Records on paper or magnetic media f. Documentation as to impact if records do not meet above criteria		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify DRC transmits records to CRF while retaining copy of records until records are microfilmed.		
4	Verify records package from records source contains the following: a. Table of Contents b. Title or description c. List of individuals records or groups of records in package d. Page counts for (c) above and total page count e. Records package identifier in upper right-hand corner of first page of Table of Contents f. Signature and date to indicate records package prepared in accordance with approved procedures or authentication for QA records packages		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify records package segments contain: a. Records package segment tracking number from Field Records Package Segment (FRPS) Log b. FRPS Log contains: 1. Records package segment title or job package number 2. Records Source name and organization 3, DRC records package tracking number c. Verify return of records package segments to records source upon notification that no additional segments are forthcoming.		
6	Verify one-of-a-kind records received with complete description to be microfilmed or if in possession of records source location where record resides.		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	Verify electronic records submitted in duplicate on one-half inch 9-track tapes with following information on label: a. Organization responsible for data b. QA designation, WBS number, and CI number c. Record title d. Dates of creation and coverage e. Recording density f. Type of internal labels g. Reel sequence number if multi-reel set h. Documentation for servicing and interpreting contents received with electronic record		

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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8	Verify the DRC temporary storage records vault complies with applicable QA requirements for moisture, temperature, pressure, excessive light, and electromagnetic field. What and where are the requirements for those conditions found and how are they maintained?		

* INCLUDES P. 91a. RSH 2/26/93

YUCCA MOUNTAIN PROJECT
AUDIT OBSERVER INQUIRY

N-QA-084
4/89

Audit No. _____

Log No. _____

Name _____ Organization _____

YMP Requirement Reference _____

Question/Concern _____

Response _____

_____
Observer's Acknowledgement

Cleared for Submittal to YMP Participant

_____
Lead Auditor / Lead Technical Specialist

☐ *Incorporated in YMPO Audit Checklist...Ref* _____

_____
Audit Team Leader

YUCCA MOUNTAIN PROJECT
AUDIT OBSERVER INQUIRY

N-QA-084
4/89

Audit No. _____

Log No. _____

Name _____ Organization _____

YMP Requirement Reference _____

Question/Concern _____

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_____
Observer's Acknowledgement

Cleared for Submittal to YMP Participant

_____
Lead Auditor / Lead Technical Specialist

☐ *Incorporated in YMPO Audit Checklist...Ref* _____

_____
Audit Team Leader

YUCCA MOUNTAIN PROJECT
AUDIT OBSERVER INQUIRY

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Audit No. _____

Log No. _____

Name _____ Organization _____

YMP Requirement Reference _____

Question/Concern _____

Response _____

_____
Observer's Acknowledgement

Cleared for Submittal to YMP Participant

_____
Lead Auditor / Lead Technical Specialist

☐ *Incorporated in YMPO Audit Checklist...Ref* _____

_____
Audit Team Leader

CIVILIAN RADIOACTIVE WASTE MANAGEMENT SYSTEM M&O CONTRACTOR QUALITY ADMINISTRATIVE PROCEDURES

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