AUDIT PLAN
AUDIT NUMBER: HQ-94-02
AUDIT OF CRWMS M&O CONTRACTOR

An audit of M&O activities will be conducted the weeks of June 6-10, 1994 at the Vienna, VA offices and June 20-24, 1994 at the M&O offices in Las Vegas, NV.

The M&O activities at the Charlotte location are not included in this audit since a recent HQAD surveillance (HQ-SR-94-08) and the OCRWM observation of M&O audit (94-MRA-01) have covered all M&O Charlotte quality activities.

The audit will be conducted by:

Marlin Horseman	QATSS, Arlington, VA	Audit Team Leader
Hugh Lentz	QATSS, Arlington, VA	Audit Team Coordinator
Richard Peck	QATSS, Arlington, VA	Auditor
Walter Coutier	QATSS, Arlington, VA	Auditor
Dennis Threatt	QATSS, Arlington, VA	Auditor
Norm Frank	QATSS, Arlington, VA	Auditor
Don Hendrix	QATSS, Arlington, VA	Auditor
Bob Holliday	QATSS, Arlington, VA	Auditor
Rob Howard	QATSS, Las Vegas, NV	Auditor
Richard Powe	QATSS, Las Vegas, NV	Auditor
John Matras	QATSS, Las Vegas, NV	Auditor

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

AUDIT SCOPE

This audit represents the "Baseline Audit" of the M&O in meeting applicable requirements of the Quality Assurance Requirements and Description (QARD, DOE/RW-0333P).

The audit will evaluate the M&O QA Program adequacy and implementation as described in the Quality Assurance Requirements and Description Matrix and the related implementing procedures used to perform M&O activities.

QA PROGRAM ELEMENTS

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

1 - Organization
2 - Quality Assurance Program
3 - Design Control
4 - Procurement Document Control
5 - Implementing Documents
6 - Document Control
7 - Control of Purchased Items and Services
12 - Control of Measuring and Test Equipment
15 - Nonconformances
16 - Corrective Action
17 - Quality Assurance Records
18 - Audits
SI - Software
SIII - Scientific Investigation
APPC- Mined Geologic Disposal System

The audit will be based on requirements drawn from the QARD and applicable M&O Quality Assurance Procedures (QAPs), Implementing Line Procedures (ILPs), and other M&O supporting procedures.

In addition, a performance-based evaluation of the M&O training process will be conducted.

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 & Observer Briefing - VA	June 6	7:30am
Preaudit Meeting - VA	June 6	8:30am
Conduct of Audit - VA	June 6	9:00am - 4:00pm
	June 7-9	8:00am - 4:00pm
	June 10	8:00am - 3:00pm
Postaudit Meeting - VA	June 10	3:00pm - 3:30pm
Audit Team & Observer Briefing - NV	June 20	7:30am
Preaudit Meeting - NV	June 20	8:30am
Conduct of Audit - NV	June 20	9:00am - 4:00pm
	June 21-23	8:00am - 4:00pm
	June 24	8:00am - 2:00pm
Postaudit Meeting - NV	June 24	2:00pm - 2:30pm

Daily Audit Team Debriefing	4:00pm
Daily M&O Management Meeting	8:30am

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

Prepared by: Marlin Horseman Date: 4-26-94
Marlin Horseman, QATSS
Audit Team Leader

Approved by: R.W. Clark Date: 5/17/94
Donald G. Horton, Director
Office of Quality Assurance

rcvd with billing dtd
5/19/94

OCRWM

AUDIT (HQ 94-02)

OF THE CRWMS M&O ACTIVITIES

BASELINE (DOE/RW - 0333P)

VIENNA, VA - JUNE 6 - 10,1994

LAS VEGAS, NV JUNE 20 - 24, 1994

102.7 **BILL BELKE**

AUDIT PLAN
AUDIT NUMBER: HQ-94-02
AUDIT OF CRWMS M&O CONTRACTOR

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Prepared by: Marlin Horseman Date: 4-26-94
Marlin Horseman, QATSS
Audit Team Leader

Approved by: R.W. Cole Date: 5/17/94
Donald G. Horton, Director
Office of Quality Assurance

cc:
D. Dreyfus, RW-1
L. Barrett, RW-2
R. Clark, RW-3-1
R. Spence, RW-3.2
R. Nelson, RW-20
S. Rousso, RW-10/RW-50
D. Shelor. RW-30
R. Milner, RW-40
T. Wood, RW-52
R. Loux, NWPO, Carson City, NV
S. Zimmerman, NWPO, Carson City, NV
J. Pitts, Lincoln County, NV
M. Baughman, Lincoln County, NV
J. Bingham, Clark County, NV
D. Betchel, Clark County, NV
E. von Tiesenhasuen, Clark County, NV
W. Offutt, Nye County, NV
P. Niedzielski-Eichner, Nye County, NV
B. Mettam, Inyo County, NV
G. Derby, Lander County, NV
L. Fiorenzi, Eureka, NV
C. Schank, Churchill County, NV
V. Poe, Mineral County, NV
F. Mariani, White Pine County, NV
J. Hayes, Esmeralda County, NV
W. Belke, NRC, Washington, D.C.
T. Johnson, HQ (RW-3.1)
R. Morgan, M&O, Vienna, VA
R. Ruth, M&O, Las Vegas, NV
L. Foust, M&O, Las Vegas, NV
A. Kubo, M&O, Vienna, VA

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED CRWMS M&O	[2] [x] EXTERNAL [ ] INTERNAL	[3] [x] AUDIT [ ] SURVEILLANCE	[4] PREPARED BY Robert Holliday DATE 4/28/94 Marli Hoseman 5/31/94
[5] DATES OF EVALUATION June 6-24, 1994			
[6] CONTROLLING DOCUMENT (Title, Number, Revision) QAP-1-0, Rev. 1, *M&O Organization*			[7] ACTIVITY EVALUATED Element 1, *Organization and Delegation of Work*

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Determine if the current M&O Organization is consistent with Attachments I&II. (Para. 5.1.1, 5.1.2, 5.1.3)		
2	Verify that QAP-1-0 Rev. 1 has been approved by the RW organization. (QARD Para. 1.2)		
3	Select a sample of M&O management positions. Verify that identified quality assurance responsibilities and authorities are being accomplished (Para. 5.4).		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify that the knowledge and experience of individuals in M&O positions have been verified as required by QAP-2-2. (Para. 5.1.4)		
5	Verify that delegations of authority have been documented and submitted as QA Records. (Para. 5.2.3)		
6	Also verify that delegations of authority identify termination conditions (if not in delegation, then the termination shall be documented in a separate letter ....). (Para. 5.2)		

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

SHEET 3 OF 3
AUDIT/SURVEILLANCE
NO. HQ-94-02

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 position descriptions are consistent with reporting responsibilities and authorities. (Para. 5.4)		
8	Verify that the identified external interfaces are consistent with technical directives, procurement contracts, and memorandum. (Para. 5.7)		

OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
U.S. DEPARTMENT OF ENERGY
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[5] DATES OF EVALUATION June 6-24, 1994			

[6] CONTROLLING DOCUMENT (Title, Number, Revision)
QAP-1-1, Rev. 2, *Resolution of Quality Disputes*

[7] ACTIVITY EVALUATED
Element 1, *Resolution of Quality Disputes*

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Determine if there has been any quality dispute(s) requiring the use of this procedure. Review the QMIS Data Base (Para. 5.3.2).		

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 any dispute(s) are documented on Dispute Escalation Reports (DER). (Para. 5.1.1)		
3	Verify that any dispute(s) was escalated to the appropriate managers for reply and orginator's decision on acceptability. • Replying manager • QA Manager • General manager (Paras. 5.2, 5.3, 5.4)		

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

SHEET 3 OF 3
AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify that the dispute was entered and completed in the QMIS database. (Paras. 5.3.2 and 5.5.3)		
5	Determine if the originator accepted a reply or pursued the OCRWM Quality Concerns Program. (Para. 5.5.2)		
6	Verify that the DER was completed and submitted as a QA record to the LRC. (Paras. 5.5 & 5.6)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED	[2]	[3]	[4]
CRWMS M&O	[x] EXTERNAL	[x] AUDIT	
[5] DATES OF EVALUATION June 6-24, 1994	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY R. G. Peck DATE 5/18/94
			Marlin Horseman 5/31/94

[6] CONTROLLING DOCUMENT (Title, Number, Revision)	[7] ACTIVITY EVALUATED
QAP-2-0, Work Control, Rev. 1, P01	Element 2, QA Program and Element 3, Design Control

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify that M&O personnel have ensured that the activity they are performing has been evaluated in accordance with QAP-2-0. (Para. 5.1.2)		

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 an evaluation of the activity for service was performed in accordance with Section 5.2 to determine if the service was subject to QARD requirements. (Para. 5.1.4)		
3	Verify that activities are decomposed to the lowest level necessary to accurately identify the portions of the activity that are subject to QARD requirements. (Para. 5.2.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify that the manager that evaluated the activity summarized the results of the evaluation performed. Verify that the summary included: a. Description b. Results c. Rationale d. Procedures e. Controlling Documents (Para. 5.3.1)		
5	Verify for any activity subject to QARD controls, that a copy of the summary was available to each person performing the activity. (Para. 5.3.2)		
6	Verify that controlling documents used for activities subject to QARD controls are appropriate, available, and are being used. (Para. 5.3.1E)		

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 each person performing the activity is trained in accordance with QAP-2-1 on the procedures applicable to their portion of the scope of work and the verification of education and experience has been completed in accordance with QAP-2-2. (Para. 5.3.4)		
8	Verify that evaluations are reviewed to determine the effect of failure of an item. (Para. 5.4.3)		

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 the following is considered and documented when defining QA controls, and the controls are commensurate with the following: a. Function or end use of the activity or item with which the activity is associated; b. Consequence of failure of the item or the activity being controlled; c. Complexity of design or fabrication of the item or implementation of the activity; d. Importance of the data; e. Reliability of the process; f. Reproducibility of the results; g. Uniqueness of the item or degree of standardization; h. History of the item or service quality; i. Necessity for special controls or processes; and j. Degree to which functional compliance can be demonstrated through inspection or test. (Para. 5.4.5)		

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 if the activity was complex, required several participants, or required sequential control, that one or more of the following implementing appropriate methods of controlling the activity was used: a. If the activity is development of a technical document, then define the controls for the activity in the TDPP written in accordance with QAP-3-5. Controls that satisfy QARD requirements shall be a QAP or ILP; therefore, use existing procedures when applicable and write new procedures if necessary. b. If the activity is the procurement of items or services, then define the controls for the activity in the procurement plan written in accordance with QAP-4-1 and QAP-7-1. (Para. 5.4.6)		
11	Verify that associated records have been submitted to the LRC in accordance with QAP-17-1. (Paras. 5.3.6, 5.4.4A, 5.4.8, and 6.0)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED	[2]	[3]	[4]
CRWMS M&O	[X] EXTERNAL	[X] AUDIT	
[5] DATES OF EVALUATION June 6-24, 1994	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY F.H. Lentz DATE 5/5/94

[6] CONTROLLING DOCUMENT (Title, Number, Revision)
QAP-2-1, Rev. 4, P05, Indoctrination and Training

[7] ACTIVITY EVALUATED
Element 2, Indoctrination and Training Program
Marlin Horseman 5/31/94

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify that the M&O Training Manager schedules M&O training and submits training records to the LRC. (Para. 5.1.1)		
2	Verify that all personnel performing work subject to the QARD attend indoctrination classroom training and that Reading/Self-study and Attendance Records are completed prior to performing work subject to the QARD. (Para. 5.2)		

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

SHEET 2 OF 3
AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify that M&O personnel document reading/self-study for the latest revision of a document before doing work according to that document. (Para. 5.3 and 5.4)		
4	Verify that justification for any training waivers are valid and documented. (Also see Waiver of Required Training for Instructors). (Para. 5.5 and Attachment II of QAP-2-9)		

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

SHEET 3 OF 3
AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that the following are submitted as QA Records: • Training Attendance Records • Reading/Self-study Records • Waiver of Required Training (Para. 6.1)		
6	Verify that records held in temporary storage comply with the requirements of the QARD 17.2.10.		
7	Evaluate the non-permanent storage procedure for retaining QA Records in temporary storage by the training department for 12 months versus QARD requirements. (Para. 6.4)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

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CRWMS M&O	[X] EXTERNAL	[X] AUDIT	
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[6] CONTROLLING DOCUMENT (Title, Number, Revision) QAP-2-2, Rev. 2, P03, Verification of Personnel			[7] ACTIVITY EVALUATED Element 2, Verification of Personnel Qualifications

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify that Position Descriptions have been developed, identify activities subject to the QARD, and manager/supervisors have signed off indicating that employees have received an indoctrination of responsibilities and authorities. (Para. 5.1.1, 5.1.3, Attachment II)		
2	Verify that position descriptions establish minimum education and experience commensurate with the scope, complexity, and nature of work. (QARD, Para. 2.2.11D)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify that employees have the minimum education and experience identified in the Position Description. (Select sample) (Para. 5.1.5) Additional references: CARs HQ-93-016, HQ-93-019 and HQ-94-004		
4	Verify that the Local Training Manager retains an employee's Position Description. (Para. 5.1.6)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that the HR Manager has documented verification of employees education before employee performs work subject to the QARD (within 30 days of Position Description sign-off). (Para. 5.2)		
6	Verify that HR Manager documents/explains circumstances which prevent the verification of education or work experience. (Para. 5.2.3 and 5.3.4)		
7	Verify that the HR Manager has documented the verification of employee Work Experience before employee performs work subject to the QARD (within 30 days of Position Description sign-off). (Para. 5.3)		

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

SHEET 4 OF 4
AUDIT/SURVEILLANCE
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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 following are collected as QA Records in accordance with QAP-17-1 and also retained by the Local Training Department. a. Position Description b. Verification of Education c. Verification of Work History d. Letters of explanatory of non-verified education/experience e. Verification of Education or Work Experience Letters (Para. 6.1, 5.1.6, 5.2.2, and 5.3.3)		

OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
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QUALITY ASSURANCE CHECKLIST

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			Marlin Horseman 5/31/94

[6] CONTROLLING DOCUMENT (Title, Number, Revision)	[7] ACTIVITY EVALUATED
QAP-2-3, Classification of Permanent Items, Rev. 6, P01	Element 2, QA Program and Element 3, Design Control

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify that department managers ensure that the analyst classifies all permanent items identified throughout the design process. (Para. 5.1.2)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Evaluate a sample of classification forms and through interview determine the basis for completion of Attachments I, II, or III as appropriate.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify that prior to issuing any design output document (i.e., procurement specification, construction specification, or drawing), an appropriate classification analysis is completed for the item. (Para. 5.1.2)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify that a classification analysis is used to provide the basis for answering the questions in Attachments I, II, or III of QAP-2-3 and that the classification analysis is prepared in accordance with QAP-3-9. (Para. 5.1.3)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that if the results of the analysis indicates that a change to the Q-list or MC list is to be recommended to the DOE, the analyst shall complete Attachment IV of QAP-2-3, using the following information from the associated QAP-3-9 analysis: a. The Item Name b. Classification and Nomenclature (if applicable, e.g., QA-2, Important to Waste Isolation). c. The Configuration Item Identifier of the Item and WBS number; d. A description of the Item e. A summary of the basis for placement on the Q-list or MC list (characteristics that cause the item to be on the Q-list or MC list) f. Analysis Document Identifier. (Para. 5.2.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify that the appropriate office manager forwards a copy of the completed analysis, including classification checklists and the recommended changes to the Q-list or MC list under cover letter as follows: • The recommended changes to the S&T Q-List and MC list shall be forwarded to OCRWM's Office of Storage and Transportation (RW-40). (Para. 5.2.2) • The recommended changes to the MGDS Q-List and MC list shall be forwarded to YMPO Deputy Project Manager (Para. 5.2.2A)		

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

SHEET 7 OF 8
AUDIT/SURVEILLANCE
NO. HQ-94-02

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 classification forms comply with Para. 7.		

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

SHEET 8 OF 8
AUDIT/SURVEILLANCE
NO. HQ-94-02

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 records are submitted to the LRC in accordance with QAP-17-1 (Para. 6)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED	[2]	[3]	[4]
CRWMS M&O	[x] EXTERNAL	[x] AUDIT	
[5] DATES OF EVALUATION	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY Norman Frank DATE 5/2/94
June 6-24, 1994			Marlin Horseman 5/31/94

[6] CONTROLLING DOCUMENT (Title, Number, Revision)
QAP-2-4, Rev. 3, *QA Program Status and Trend Reporting*

[7] ACTIVITY EVALUATED
Element 2, QA Program and Trending Process

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Review QAP-2-4 for adequate definition of the reporting process. Questions That Arose From Review and Flowcharting of QAP-2-4, R3 QA Program Status and Trending a. Paragraph 5.1.5 - Who corrects the inputs to the database? Who analyzes CAR groupings for adverse trends? b. Paragraph 5.1.6 - Who selects the "CAR groupings"? (CAR HQ-93-13) c. Subsection 5.1 - There needs to be a review of the data after it has been entered to verify correct input. d. Subsection 5.2 - This does not say who prepares the Report. Approval is given to the M&O QA Manager. Who prepares the Report? (CAR HQ-93-13) e. Paragraph 5.4.2 - There is no mention of initiating a CAR in accordance with QAP-16-1. Are the results of the report handled separately from the CAR system? If so, where in QAP-16-1 is this special case discussed? Currently, if a CAR is not initiated, it violates QAP-16-1.		

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 Quality Management Information Systems (QMIS) Administrator maintains the QMIS database and ensures the effective performance of automated data processing for quality problem analysis, trend analysis, quality improvement progress, and effective evaluations of the M&O quality program in areas subject to quality audits and surveillances. (Para. 5.1.1)		
3	Verify that the Quality Assurance Program Status and Trend Report is prepared on a semi-annual basis and that the report addresses the past, present, and known future developments that affect the overall M&O QA program. (Paras. 5.2, 5.2.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify that the Quality Assurance Program Status and Trend Report includes a summary of all audit reports, surveillance reports, stop work notification reports, and CARs issued during the reporting period. (Paras. 5.2.5, 5.2.6, 5.2.7 and 5.2.8)		
5	Verify that the QE Manager evaluates the information in the QMIS database monthly. (Para. 5.4.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify that the M&O QA Manager promptly evaluates the trend information and notifies the cognizant M&O management for investigation and corrective actions. (Para. 5.4.2)		
7	Determine how corrective action is specified and implemented for adverse trends. (General)		

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 QA information system effectively communicates the status of significant conditions, adverse to quality. (QARD, Para. 2.2.10A)		
9	Verify that QA records are submitted to the LRC in accordance with QAP-17-1. (Para. 6.1)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED	[2]	[3]	[4]
CRWMS M&O	[x] EXTERNAL	[x] AUDIT	
[5] DATES OF EVALUATION June 6-24, 1994	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY Walter R. Coutier DATE 4/28/94 Marlis Hoessume 5/31/94
[6] CONTROLLING DOCUMENT (Title, Number, Revision) QAP-2-5, Rev. 3, P01, *QA Surveillance*			[7] ACTIVITY EVALUATED Element 2, *QA Program*

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify that personnel assigned to surveillances are independent of the activity being surveilled. (Para. 5.1)		
2	Verify that surveillances are conducted to evaluate the quality of selected work subject to QARD requirements. (Para. 5.2) • work-in-progress • I.D. conditions adverse to quality • ensuring prompt CA • verify timely implementation of CA • requests from other groups		

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

SHEET 2 OF 6
AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify that the Responsible QA Audits and Surveillance Managers designate a Surveillance Team Leader. (Para. 5.3.1)		
4	Verify surveillance team is selected based on the requirements specified in Para. 5.3.2.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that surveillance preparation is developed in accordance with methods allowed in Paragraph 5.3.3.		
6	Verify that surveillance activities are conducted in accordance with Paragraphs 5.4.1- 5.4.5.		

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 management is informed of adverse conditions and that CARs are initiated as appropriate. (Para. 5.5.1)		
8	Verify Surveillance Leader assures checklists are completed in accordance with Para. 5.5.2.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9	Verify surveillance results are documented in accordance with Paras. 5.5.3 and 5.5.4.		
10	Verify report is submitted to the QA Audits and Surveillance Manager for approval. (Para. 5.5.5)		

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

SHEET 6 OF 6
AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
11	Verify the Surveillance Leader makes required report distribution. (Para. 5.5.6)		
12	Verify surveillance reports are submitted to the LRC by the Surveillance Team Leader as a QA record in accordance with QAP-17-1. (Para. 6.1)		
13	Verify completed surveillance checklists are non-permanent QA records and submitted to the LRC in accordance with QAP 17-1. (Para. 6.2)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED	[2]	[3]	[4]
CRWMS M&O	[x] EXTERNAL	[x] AUDIT	
[5] DATES OF EVALUATION June 6-24, 1994	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY Robert Holliday DATE 4/28/94 Marlin Hoseman 5/31/94

[6] CONTROLLING DOCUMENT (Title, Number, Revision)
QAP-2-6, Rev. 2, P01, *Readiness Review*

[7] ACTIVITY EVALUATED
Element 2, *Quality Assurance Program*

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Determine if any Readiness Reviews have been or are being conducted to the applicable revision of this QAP. If none are identified, through interviews with management, determine if: a. The guidelines for initiating a readiness review are defined and understood. (Para. 5.4.1) b. There is a schedule of readiness reviews to be conducted. c. Management recognizes the importance of the Readiness Review tool. If Readiness Reviews have been completed continue with the checklist verification.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify through discussion with the M&O General Manager the method used for determining a need for the readiness reviews. Was the need documented and the location and scope of the readiness review provided? (Paras. 5.4.1, 5.4.2)		
3	Have guidelines for performing the Readiness Reviews been provided by the M&O General Manager? Do they include: a. location of the review; b. details of the design phase, process or other program activity to be reviewed; c. potential problem areas; d. items that impact schedule or require special technical expertise; e. results of applicable management, assessments, peer reviews, design review, technical document reviews, and readiness reviews; f. appropriate acceptance criteria to be used during readiness review; and g. identification of personnel assigned to assist the reviewers. (Para. 5.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify through document review, that the members of the Readiness Review Team meet the following requirements: a. M&O personnel, unless particular outside expertise is required; b. team members have, at a minimum, experience in the disciplines undergoing readiness review. Team members have been trained on this procedure and other appropriate procedures as assigned by the RRTL; c. Readiness Review Team members are independent of the work prerequisites they are verifying. d. the review team qualifications and selection was made by the RRTL in accordance with the scope of the readiness review. (Paras. 5.2, 5.4.2, 5.4.3)		
5	Verify that the M&O General Manager selected the Readiness Review Board comprised of personnel having broad expertise in area being reviewed. Were selections made from outside the M&O organization? If so, why, who, and what experience was warranted? (Paras. 5.2.1, 5.4.2)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify the Readiness Review Plan prepared by the RRTL includes: a. Introduction and overview. b. Scope and areas to be covered. c. Objectives to be determined which include assurance that: 1. Work prerequisites have been satisfied. 2. Personnel have been suitably trained and qualified. 3. Detailed implementing documents and management controls are available and approved. d. Reference procedures to be used. e. Readiness review guidelines. f. Readiness review schedule, indicating significant milestones and due dates for reports. g. Identification of RRT members and their area of responsibility. (Para. 5.4.4)		
7	Verify the RRTL reviewed the Plan with the Readiness Review Board and obtained approval of the RRB Chairperson. (Para. 5.4.5)		

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 an Attribute List (Attachment I) was prepared by the RRT and reviewed and approved by the RRTL. (Para. 5.4.6)		
9	Verify that all items on the Attribute List, (Attachment I) have either been verified as satisfied or identified as an open item to be added to Open Item Reports. (Para. 5.5.1)		

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 all attributes identified as remaining open, on the Attribute List, (Attachment I) has been identified and documented on an Open Item Report, (Attachment II) and included on an Open Item List, (Attachment III) for tracking. (Paras. 5.5.2, 5.5.3, & 5.5.4)		
11	Review the Readiness Review Report preparation and processing. (Paras. 5.5.5, 5.5.6, 5.5.7)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
12	Verify that actions taken subsequent to the Readiness Review are in accordance with paragraph 5.6 of this QAP. Also determine the meaning of the "RRTM" acronym. (Paras. 5.6, 5.6.4)		
13	Review the method for tracking and closing the identified open items. (Para. 5.6.7)		
14	Verify that the QA records have been submitted to the LRC in accordance with QAP-17-1. (Para. 6.1)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED CRWMS M&O	[2] [x] EXTERNAL [ ] INTERNAL	[3] [x] AUDIT [ ] SURVEILLANCE	[4] PREPARED BY Robert Holliday DATE 4/28/94 Marli Horseman 5/3/94
[5] DATES OF EVALUATION June 6-24, 1994			

[6] CONTROLLING DOCUMENT (Title, Number, Revision)
QAP-2-7, Rev. 0, *Management Assessment*

[7] ACTIVITY EVALUATED
Element 2, *Quality Assurance Program, Management Assessment*

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify through interviews/document reviews that the GM M&O appointed assessment team members outside of QA and that they did not assess activities in the areas of responsibility. (Paras. 5.1.1, 5.1.2)		

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

SHEET 2 OF 4
AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify through review of Management Assessment Plan that the Plan was comprehensive and covered items required. (Para. 5.1.4)		
3	Verify through a review of the Management Assessment Report that the assessment evaluated the items in the Plan. (Paras. 5.2 and 5.4)		
4	Verify that any conditions adverse to quality were documented in accordance with QAP-16-1 and included in the final report. (Paras 5.3.4, 5.3.5, 5.4.1F)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that assessment report recommendations were evaluated and results of evaluations are documented. (Para. 5.5.1)		
6	Verify through document review that the QA Manager coordinates responses and identifies actions taken. (Para. 5.5.2A)		

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

SHEET 4 OF 4
AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	Verify through interviews and document review that the process for follow-up of recommendations is effective in closing out recommendations. (Para. 5.5)		
8	Verify that the record packages contain the records identified in para. 6.		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED	[2]	[3]	[4]
CRWMS M&O	[X] EXTERNAL	[X] AUDIT	
[5] DATES OF EVALUATION June 6-24, 1994	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY F.H. Lentz DATE 5/5/94 Marlin Horseman 5/31/94

[6] CONTROLLING DOCUMENT (Title, Number, Revision)	[7] ACTIVITY EVALUATED
QAP-2-9, Rev. 1, P02, Development and Conduct of Training	Element 2, Development and Conduct of Training

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify that the M&O Training Manager schedules M&O training and notifies M&O personnel of classroom instructions. (Para. 5.1)		
2	Verify that instructors have attended the Initial Instructor Development Training Course, have a completed M&O Instructor Certification in their training files, and are approved by the M&O Training Manager. (Para. 5.3.1, 5.3.2, and 5.3.4)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify that Lesson plans (and their revisions) are prepared in accordance with the Lesson Plan Standard and approved by the Training Manager. (Para. 5.4)		
4	Verify that Lesson plans indicate the method for documenting examination results for QA Records. (Attachment IV, Field 23)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that student attendance of classroom instruction and briefings are documented on a Training Attendance Record. (Para. 5.5.3 and 5.6.3)		
6	Verify that the following training records are processed as QA Records in accordance with QAP-17-1. • M&O Instructor Certification • Completed and Approved Lesson Plans • Examination and test results (Para. 6.1.1 and 6.1.4)		
7	Documents become QA records when authenticated (signed). Verify that Para. 6.1.3 is being properly interpreted.		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED	[2]	[3]	[4]
CRWMS M&O	[x] EXTERNAL	[x] AUDIT	
[5] DATES OF EVALUATION	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY Robert L. Howard DATE 5/2/94
June 6-24, 1994			Marlis Howard 5/31/94

[6] CONTROLLING DOCUMENT (Title, Number, Revision)
QAP-3-0, Rev. 1, *Design Control Process*

[7] ACTIVITY EVALUATED
Element 3, Design Control Process

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify the M&O design organization maintains an organization chart which includes position titles. The design organization shall also maintain a current listing of signature authorities. (Para. 5.1.3)		
2	Verify that advanced conceptual designs for the repository and waste package are defined and controlled in accordance with appropriate implementing documents QARD 3.1.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify the Cognizant Officer Manager for assigned design activities has prepared the plans and/or procedures required to provide: a. Clear definition of the design activity to be performed and how the design output will be documented in a timely manner. b. A process to ensure that the design documents are adequate to support further design, fabrication, construction, or operation. c. Process to ensure that standards used as design input are identified, documented, selection reviewed and approved. d. Process to ensure that changes from specified standards are identified, including reasons for change; approved, documented; and controlled. e. Controls for selecting and reviewing design methods, materials, parts equipment, and processes that are essential to the function of an item for suitability for application. f. Guidance to insure that applicable information derived from experience, as set forth in reports or other documentation, is available to cognizant design personnel. g. Review and approval process required to ensure that design documents contain sufficient detail, as to purpose, method, assumptions, design input, references, and units so that a technically qualified person can independently verify their adequacy.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3 (cont)	h. Controls for identifying assemblies or components that are part of the item being designed, including documentation of commercial grade assemblies or components which are modified or selected by special inspection or testing to meet more restrictive requirements that the supplier's published product description to indicated differences. i. Control to ensure that drawings, specifications, and other design output documents contain appropriate inspection and testing acceptance criteria. j. Identification of organizational interfaces and responsibilities. k. Requirements and responsibilities for the conduct of readiness reviews. l. Requirements and responsibilities for technical and management reviews. (Para. 5.3.2)		
4	Verify design verification has been performed in a timely manner and prior to transmitting the design output document to the DOE for acceptance or release to other design organizations under QAP-3-12. (Para. 5.5.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that design packages for items and activities that through the classification analysis, in accordance with QAP-2-0 and QAP-2-3, have been determined to be subject to QARD requirements are verified in accordance with QAP-3-2. The adequacy of design shall be verified, as appropriate for the design package, by one or more of the following: a. Performance of design reviews (preferred method) b. Use of alternate calculations c. Performance of qualification tests (the M&O does not currently plan on using this method to perform design verification. If the need arises, appropriate procedures shall be developed and implemented prior to initiating the activity) d. Performance of peer reviews. (Para. 5.5.2)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify the Cognizant Officer Manager assures that the areas of features of the design package to be verified are adequately identified and considers the following criteria when selecting the design verification method: a. Importance to safety or waste isolation, b. Complexity of the design, c. Impact upon other systems, d. Degree of standardization, e. State of the art, f. Similarity with previously proven designs. (Para. 5.5.7)		
7	Verify changes in previously verified design are reverified in accordance with QAP-3-2. These reverifications shall evaluate the effects of the changes on the overall previously verified design and on any design analyses upon which the design is based. (Para. 5.5.7)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8	Verify the M&O documents its method of validating or qualifying design input related to safety and waste isolation that it generated as part of the design verification. (Para. 5.5.9)		
9	Verify that design changes, including those identified during Title III design activities, shall be reviewed, verified, and approved using the same procedures applied to the original design. (Para. 5.7.3)		

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 the design organizations are controlling design information which is transmitted within the design organization. These controls shall ensure that transmittals are documented to identify the status of the design information or document provided and, where necessary, identify incomplete items which require further evaluation, review, verification, or approval. (Para. 5.8.4)		
11	Verify that Cognizant Office Managers prepare Implementing Line Procedures for the control and documentation of information which is transmitted, external to the design organization, orally or by other informal means. (Para. 5.8.5)		

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

AUDIT/SURVEILLANCE NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED	[2]	[3]	[4]
CRWMS M&O	[X] EXTERNAL	[X] AUDIT	
[5] DATES OF EVALUATION June 6-24, 1994	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY Richard E. Powe DATE 5/11/94 Marlin Horseman 5/31/94

[6] CONTROLLING DOCUMENT (Title, Number, Revision)	[7] ACTIVITY EVALUATED
QAP-3-1, Rev. 4 (10/30/93), PCN P01 (12/1/93), *Technical Document Review*	Element 3, *Design Control*

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify through interviews and document review the process used to determine when this procedure is used. (Para. 5.2.1)		
2	Verify through document review that the Technical Document Review Package (TDRP) contains items listed in Para. 5.2.1A: a. Technical Document Review Notice b. Document Review Record c. Technical Document d. Technical Document Preparation Plan or Waiver		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify through interviews and document review that an approved process exists for waiving TDPPs. (Para. 5.2.1A4)		
4	Verify implementation of the process used to certify that the reviewers are qualified. Look for objective evidence. (Paras. 5.2.7A, 5.1.5 and 5.1.6)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify through interviews that the cognizant department managers properly assign Technical Document Review Notice (TDRN) log numbers. (Para. 5.2.4B)		
6	Verify through interviews that the criteria used to establish the review schedule allows adequate time to perform the review. (Para. 5.2.2B)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	Determine through interviews and record reviews how late mandatory comments are processed. (Para. 5.3.1B)		
8	Determine that any unresolved mandatory comments are processed effectively in accordance with Para. 5.4.3C.		

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

SHEET 5 OF 5
AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9	Verify through interviews/document review that the DRR is completed with appropriate resolutions to comments. (Para. 5.4.1)		
10	Verify the Technical Document Records Package includes: a. TDRN b. Draft of Document Reviewed c. DRRs d. Approved Document and that it has been submitted to the LRC in accordance with QAP-17-1. (Para. 6.)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED	[2]	[3]	[4]
CRWMS M&O	[x] EXTERNAL	[x] AUDIT	
[5] DATES OF EVALUATION June 6-24, 1994	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY R. G. Peck DATE 5/19/94 Marlin Horseman 5/31/94

[6] CONTROLLING DOCUMENT (Title, Number, Revision)	[7] ACTIVITY EVALUATED
QAP-3-2, *Design Verification*, Rev. 4, P01	Element 3, Design Control

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify that the Cognizant Office Manager or designee: Determined the method and extent of verification in accordance with criteria provided in QAP-3-0 (Para. 5.1.2A).		

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 following methods were used for design verification and how it was accomplished: a. Design Review b. Alternate calculations c. Qualification Tests (not currently planned) d. Peer Reviews (QAP-3-3) (Par. 5.1.2A)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify that the extent of the verification and justification for design verification method was documented under Scope of Review Block of Design Review Notice. (Para 5.1.2C)		
4	Verify that the Design verification was performed by competent individuals(s) or group(s) other than those who performed the original design, (but may be from the same organization). (Para. 5.2).		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that when the originators supervisor was used to perform design verification, it was limited to the following cases: a. The supervisor meets the criteria noted in para. 5.2.1 of QAP-3-2. b. The review was not performed in a hasty or superficial manner; and c. The need was documented in an Interoffice Correspondence and approved by the supervisor's management with concurrence from QAM or LQAM, prior to the verification activity. (Para. 5.2.2)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify that design verification records packages include the following documentation and that it is adequate: a. The Design Verification Record. b. Any Technical Document Review Notices (TDRN), (see QAP 3-1) and associated Document Review Record Forms (see QAP-3-1) c. An index identifying all documents in the design verification package. d. The design package. e. Any documentation supporting verifier qualifications. (Para. 5.4.1)		

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 regardless of the verification method chosen, the results of the reviews were documented in a Verification Review Memorandum and included the comments and resolutions. (Para. 5.5)		

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 design changes: a. Are processed in accordance with QAP-3-2 b. When significant, resulted in a review of the design process and appropriate procedures and was modified as necessary c. Was made prior to transmittal of the changed design output documents to the DOE (Para. 5.7)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED CRWMS M&O	[2] [x] EXTERNAL [ ] INTERNAL	[3] [x] AUDIT [ ] SURVEILLANCE	[4] PREPARED BY Robert Holliday DATE 4/26/94 Marlin Horseman 5/31/94
[5] DATES OF EVALUATION June 6-24, 1994			
[6] CONTROLLING DOCUMENT (Title, Number, Revision) QAP-3-3, Rev. 2, *Peer Review*			[7] ACTIVITY EVALUATED Element 3, *Design Control*

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify through interviews and document review the process used to determine when a Peer Review is required. (Para. 5.1)		
2	Verify through a review of the Peer Review Plan that a clear definition of the work to be reviewed is stated. (Para. 5.3.2)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify that the criteria for the Peer Review are clearly stated. (Para. 5.3.3)		
4	Verify through document review that the expertise of the Peer Review Group is commensurate with the work product. (Para. 5.4.1)		

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

SHEET 3 OF 3
AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify through document review that the independence of the Peer Reviewers is verified with objective evidence. (Para. 5.4.2)		
6	Verify through interviews and document review that all comments are resolved and any corrective action (changes) are tracked and closed. (Para. 5.5)		
7	Verify that Peer Review records are submitted to the LRC. Para. 6)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED CRWMS M&O	[2] [x] EXTERNAL [ ] INTERNAL	[3] [x] AUDIT [ ] SURVEILLANCE	[4] PREPARED BY Robert L. Howard DATE 5/25/94 Marlin Howerton 5/31/94
[5] DATES OF EVALUATION June 6-24, 1994			
[6] CONTROLLING DOCUMENT (Title, Number, Revision) QAP-3-4, *Baseline Control*, P01 Rev. 1			[7] ACTIVITY EVALUATED Process for Controlling Baseline

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify CRWMS technical documents requiring BCPs are designated as either Level 1, 2, or 3 changes, using the criteria in QAP-3-4, Paragraphs 5.2.3 through 5.2.4. (Para. 5.2.2)		
2	Verify that a determination is made whether the document to be baselined is subject to QARD requirements. If subject to the QARD, are complete QA requirements met? (Para. 5.1.2)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify the preparer submits the completed baseline document and BCP package (Attachments 1, IV and, if appropriate, the DRR), including all support documentation to the M&O BCCB Secretariat for final approval action. In addition, the responsible organization should submit a completed Document Control Action Request (QAP-6-1) and a controlled distribution list, if any, to the M&O BCCB Secretariat. (Paras. 5.4.2, 5.4.3)		
4	If the change package is incomplete, verify the BCCB Secretariat stamps the package HOLD and completes a Deficiency Report (DR) (Attachment V). Verify incomplete baseline documents for change documents are reworked and the originating organization as necessary to resolve the DR. If the resolution of the deficiency requires a design change, verify a BCP is issued to close the DR. If the deficiency is significant and adverse to quality, verify a Corrective Action Report (CAR) is initiated in accordance with QAP-16-1. Determine how baseline documents placed on HOLD are controlled and released. Also, determine if the phrase "If the deficiency is significant and adverse to quality,..." implies that non-significant deficiencies are not reported on a CAR. (Para. 5.4.4B)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify proposed changes evaluated for program/project impact evaluations are documented on a DRR and submitted with the baseline document and BCP package. Verify documentation includes the evaluator's recommendations for disposition of the baseline document or BCP and supporting rationale. (Para. 5.4.6)		
6	Verify detailed evaluations are performed by the M&O BCCB members or other quality personnel when designated by the M&O BCCB Chairperson. Evaluations shall consider potential impact on the following program objectives: a. Personnel and radiation safety b. Design adequacy c. Operating, maintenance, and testing (OMT) procedures and training d. Interfaces (internal and external) (Para. 5.4.7)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	If evaluations are performed by personnel other than M&O BCCB members, verify that the BCCB reviews the evaluations, documented on a DRR, to determine whether impacts were adequately assessed and justifications are complete and valid. (Para 5.4.8)		
8	Determine if any errors have been discovered (during the evaluation of a baseline document or BCP) in a previously verified technical document. If so, was a CAR issued in accordance with QAP-16-1? (Para. 5.4.10)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9	Verify the board members/reviewers: a. Document their recommendation on the Request for Disposition b. Identify conditions for approval, or the rationale for the recommended disposition on the DRR. c. Sign and date the DRR and Request for Disposition (Attachment VII) (Para. 5.4.11)		
10	Verify the review status, through final disposition, is tracked and entered into the designated Confirmation Information System (CIS) database. (Para. 5.4.13)		

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 upon approving the BCP, the M&O BCCB Chairperson records the BCCB action and completes, signs, and dates the BCCB Directive (Attachment VIII). The BCCB Direction shall include a list of actions, if any, requiring implementation. If the BCP was conditionally approved, the BCCB Directive shall clearly identify the associated conditional restrictions. (Paras. 5.4.12, 5.4.18)		
12	Verify that changes approved by the M&O BCCBs are reviewed by the next higher level BCCB. (Para. 5.4.19)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
13	Verify the BCCB Secretariat completes the Document Change Notice (DCN) (Attachment III) for each document affected, as identified in the BCP, by the approved change. (Para. 5.4.20)		
14	Verify after changes have been completed and verified, the M&O BCCB Secretariat initiates a BCCB Closeout Report. (Attachment XII) The BCCB Closeout Report shall serve as objective evidence that the required physical modifications, software update, documentation changes, and QA verifications are complete. (Para. 5.4.21) Determine what constitutes a QA verification by tracing a BCP Closeout Report.		
15	Verify that all QA records have been submitted to the LRC in accordance with QAP-17-1. (Para. 5.5.4, 6.1).		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED CRWMS M&O	[2] [X] EXTERNAL [ ] INTERNAL	[3] [X] AUDIT [ ] SURVEILLANCE	[4] PREPARED BY Richard E. Powe DATE 5/11/94 Marlin Horseman 5/31/94
[5] DATES OF EVALUATION June 6-24, 1994			
[6] CONTROLLING DOCUMENT (Title, Number, Revision) QAP-3-6, Rev. 2 (6/18/93), PCN P01 (3/16/94) P02 (3/16/94), *Configuration Items and C.I. Identifiers*			[7] ACTIVITY EVALUATED Element 3, *Design Control*

[9] ITEM NO.	[8] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Select various items from CIs, hardware, task, drawing and review the process of assignment of CI numbers. (General)		
2	Review a sample of documentation. (General)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Review the training requirements associated with this QAP. (General)		
4	Review any evidence that the impact of this QAP upon end users has been evaluated. (General)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Review Configuration Information System (CIS) and how it is used. (Para. 5.2.3c)		
6	Verify QA Records for this procedure (Request for Assignment of CI Identifiers) have been processed to the LRC. (Para. 6.1)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED	[2]	[3]	[4]
CRWMS M&O	[X] EXTERNAL	[X] AUDIT	
[5] DATES OF EVALUATION June 6-24, 1994	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY Richard E. Powe DATE 5/11/94 Marlin Hansmann 5/31/94

[6] CONTROLLING DOCUMENT (Title, Number, Revision)	[7] ACTIVITY EVALUATED
QAP-3-5, Rev. 5, *Development of Technical Documents*	Element 3, *Design Control*

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
	Note: QAP-3-5 History Rev. 4 effective 10/30/93 PCN P01 effective 12/1/93 PCN P02 effective 12/17/93 PCN P03 effective 1/13/94 Rev. 5 effective 3/11/94		
1	Determine by interview what types of documents are reviewed in accordance with QAP-3-1 and which ones are reviewed in accordance with para. 5.3.2 of QAP-3-5. (Para. 5.3.1)		

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 Technical Document Preparation Plans as a minimum, address the items listed in Attachment I of QAP-3-5. (Para. 5.1.2) a. Objective b. Scope c. Background d. Technical Approach e. Description of the Technical Document f. Responsibility g. Review and Approval h. QA i. Milestones		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify that, as a minimum, technical documents include the following: a. A title page containing the following: 1. Complete title 2. Document Identifier 3. WBS number 4. SCP or project required ID number 5. QA designation 6. Signatures for preparer and approver b. An objective and scope c. Identification of inputs (prerequisites, special controls, environmental conditions) d. TBVs e. Assumptions f. Interfaces (QAP-3-0) g. A list of references providing input to the technical document h. A presentation of information applicable to the subject matter of the technical document i. Indicate appropriate QA classifications j. Control use of computer programs k. Conclusions or recommendations. (Para. 5.2B)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify that formal reviews of technical documents, including interdiscipline review if required by the Responsible Department Manager or identified in the TDPP, are conducted in accordance with QAP-3-1, Technical Document Review, or Section 5.3.2 of QAP-3-5, if applicable. (Para. 5.3.1)		
5	Verify that all revisions to approved technical documents, including the Technical Document Preparation Plan, are prepared, verified (if required), reviewed, and approved in the same manner as the original. (Para. 5.5)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify the following records are processed to the LRC: a. TDPP or memo (waiver) b. Technical Document (approved) c. Written evidence of reviewer's concurrence with mandatory comments (Para. 6.1)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED	[2]	[3]	[4]
CRWMS M&O	[x] EXTERNAL	[x] AUDIT	
[5] DATES OF EVALUATION June 6-24, 1994	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY Robert L. Howard DATE 5/2/94 Marlin Howerton 5/31/94
[6] CONTROLLING DOCUMENT (Title, Number, Revision) QAP-3-8, Rev. 3, P01, P02, P03, P04, *Specifications*			[7] ACTIVITY EVALUATED Element 3, *Design Control*

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify that upon receipt, the Department Manager reviews design input data and design input data changes, or data received in accordance with QAP-3-12, External Transmission of Technical Input Data, and determines if the data is appropriate for inclusion in a specification. (Para. 5.1.1)		
2	Verify that specifications developed in accordance with QAP-3-8 are prepared using the specification format provided in Attachment I, or the Construction Specification Institute (CSI) format. (Para. 5.1.2)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify the specification has indicated QA Classification as determined by QAP-2-3 or QA Program applicability as determined by QAP-2-0, for MGDS activities, verify this evaluation is documented in accordance with NLP-3-18. (Para. 5.1.4)		
4	Verify that the Checker: a. Checks the specification against minimum criteria established in Attachment III of QAP-3-8, b. Clearly and legibly notes all corrections, c. Has resolved all comments, d. In the event of disagreements, the problems have been elevated to the next level of management, e. Back-check the new document, f. Signed the Certification of Specification, g. Returned the document to the LDE. (Para. 5.3.4)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that the interdiscipline/external reviews are conducted in accordance with QAP-3-1 or QAP-4-1. (Para. 5.4.1)		
6	Verify interdiscipline and external reviewers return the Certification of Specification form. (Para 5.4.3)		

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 if required, the Department Manager ensured that the specification was verified in accordance with QAP-3-2 prior to release for procurement, manufacturing or construction or released in accordance with QAP-3-12 to other organizations for use in design work. (Para. 5.5.2)		
8	Verify the process used to assure that the requirements of the M&O QA Program were met. (Paras 5.6.2B, 5.6.5C)		
9	Verify the approved specification is submitted to the BCCP for disposition and acceptance into the technical baseline IAW QAP-3-4. (Para. 5.7.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
10	Verify, upon acceptance into the technical baseline, a copy of the specification is submitted to subcontractors or the Purchasing Manager for inclusion in the Procurement Authorization Package. (Para. 5.7.2)		
11	For the MGDS, verify that new specifications are listed in the BFD IAW NLP-3-20. (Para. 5.7.3)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
12	For revisions to specifications, verify that completed work performed IAW previously approved versions of the specification, are assessed for impact against proposed changes, and revisions to the specification. Verify that a description of the results, conclusions, and actions taken relative to the work already performed is prepared by the specification preparer and is attached to the Certification of Specification form. (Para. 5.8.2)		
13	Verify that all QA records have been submitted to the LRC. (Para. 6)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED	[2]	[3]	[4]
CRWMS M&O	[X] EXTERNAL	[X] AUDIT	
[5] DATES OF EVALUATION June 6-24, 1994	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY Robert L. Howard DATE 5/24/94 Marlin Hoagman 5/31/94
[6] CONTROLLING DOCUMENT (Title, Number, Revision) QAP-3-9, Rev. 3, P04, Design Analysis			[7] ACTIVITY EVALUATED Element 3, Design Analysis Process

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify that the determination of whether design analyses are subject to QARD requirements is defined and proceduralized. (Paras. 2.SCOPE., 5.2.1F)		
2	Review the method used by the Department Manager and the LDE to identify and review all design input data to determine which analyses are required for the design of the system, structure, or component. (Para. 5.1.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify that the Originator: a. Prepares the information for the design analysis, including any necessary engineering calculations, using the analysis input including the available design input, recognized engineering practices, and specified procedures and requirements. b. Documents any other design documents affected by the design analysis in the "Remarks" section of the Design Analysis Cover Sheet (Attachment II). c. Obtains a Document Identifier for the design analysis in accordance with QAP-3-13. d. Presents the information in accordance with the specific outline in Attachment I in the order listed. If an item cannot be used in the analysis or does not warrant discussion, the heading shall be shown followed by "Not Applicable," "N/A," or "Not Used." e. Provides a cover sheet that conforms to Attachment II on each design analysis. f. Indicates the QA classification as determined by QAP-2-3 or the QA program applicability as determined in accordance with QAP-2-0. (Para. 5.2.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify that after completing the design analysis, the Originator signs, dates and forwards the original cover sheet and a copy of the document to the Checker. (Para. 5.2.2)		
5	Verify that the Checker checks all aspects of the design analysis including the following: a. Were the design inputs correctly selected and incorporated? b. Are all assumptions necessary to perform the design analysis adequately described, reasonable, and where necessary, reverified? c. Was the design method used appropriate to the goals and scope of the effort? d. Does the design output reasonable reflect the design inputs? e. Are the necessary design input and verification requirements for interfacing organizations specified in the design documents or in supporting implementing documents? f. Verify that methodologies used for checking are consistent between checkers. (Para. 5.3.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify that after all deficiencies and discrepancies have been corrected, the Checker signs the original cover sheet and forwards it, with a copy of the corrected design analysis, to the LDE. (Para. 5.3.3)		
7	Verify that the Department Manager provides guidance to the LDE as to whether one or more interdiscipline reviews are required. Verify that the methodology used to determine if interdiscipline reviews are required is defined and consistent. (Para. 5.4.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8	If interdiscipline reviews are required, verify the reviewer(s) perform a review for conformance or changes to his or her areas of work and coordinate any required changes to the preliminary draft design analysis with the preparer. (Para. 5.4.2)		
9	Verify that the Checker also signs and dates the original review document to confirm that the technical adequacy of the analysis was not affected by changes made as a result of the Interdiscipline Review. (Para. 5.4.3)		

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 the reviewer performs another review to ensure that the agreed upon changes have been incorporated and signs and dates the original review document on which his or her comments were made. Verify the LDE marks each of the signed off review copies "INTERDISCIPLINE REVIEW COPY" and submits them to the Local Records Center (LRC) in accordance with QAP-17-1. (Para. 5.4.4)		
11	Verify that necessary external reviews are conducted in accordance with QAP-3-1 prior to approval of the design analysis. Evaluate the methodology used to determine if external reviews are required. (Para. 5.5)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
12	Verify that for those design analyses to be released for procurement, fabrication, or construction, or for use as input for other design organizations, any determination that QAP-3-2 is not applicable has been documented on the Design Analysis Cover Sheet (Attachment II). Evaluate the methodology used to determine if QAP-3.2 verification is required. (Para. 5.6)		
13	Verify that the LDE indicates approval by signing and dating the original Design Analysis Cover Sheet after determining that the document is complete and meets the requirements of this procedure. (Para. 5.7.2)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
14	Verify that if a change to the baseline is required, the Department Manager prepares and submits the Baseline Change Proposal (BCP) and associated documentation to the appropriate Baseline Change Control Board (BCCB) in accordance with QAP-3-4. Evaluate the adequacy of the determination methodology. (Para. 5.7.4)		
15	Verify that the Design Analysis is submitted to the appropriate BCCB in accordance with QAP-3-4. (Para. 5.8)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
16	Verify that the Originator prepares revisions to approved design analyses and engineering calculations as follows: a. The approved Design Analysis shall be used as the reference point. b. The revision number shall appear on each page of the revision. The Design Analysis Revision Record (Attachment III) shall clearly indicate the revision number. c. Each page of the revision shall be numbered consistent with the numbering of the pages being revised. For example, Revision 7 corrects a calculation on Page 23. The appropriate portion of Page 23 shall be voided and reference given to the revision and revision page number. In this case, pages would be numbered 23.1, 23.2, etc. d. Minor revisions may be made on the existing pages; however, those changes must meet the following criteria: 1. There must be enough room on the page to allow clear presentation of the change and required information. 2. The voided information must be clearly deleted but no obliterated. 3. The revised computation must be near and clearly indicate which computation it replaces.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
16 cont	4. The revised computation must be initialed by the person performing the computation, be dated, and clearly indicate the revision number. e. Revision, deletion, or addition of pages shall be indicated on the Design Analysis Revision Record by listing the pages and the associated volume. f. Revision, deletion, or addition of attachments shall be indicated on the Design Analysis Revision Record by listing the attachment number and the associated volume. g. Deletion or addition of volumes shall be indicated on the Design Analysis Revision Record by listing the volume number. h. A statement documenting the reason for any revision and a brief written description of the change shall be noted on the Design Analysis Revision Record. (Para. 5.9.1)		

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 the Checker checks the design analysis and calculations in accordance with Section 5.3. Determine how analyses/calculations are controlled to ensure the design organizations that use the analyses get up-to-date revisions. (Para. 5.9.2)		
18	Verify that upon initial receipt of a design analysis or calculation from a subcontractor, vendor, consultant, or other CRWMS program participant, the LDE attached a Design Analysis Cover Sheet as the first page. The LDE shall identify the external organizations that originated and checked the design analysis or calculation in the "Originator" and "Checker" blanks. Verify the LDE submits the externally prepared design analysis or calculation to the appropriate BCCB to be baselined in accordance with QAP-3-4 before any revisions. (Para. 5.10.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
19	Determine how externally supplied vendor calculations are controlled to ensure that vendor revisions to calculations are transmitted to the design organization for design input. The Department Manager shall determine whether revisions to an externally supplied design analysis or calculation will be prepared by the external organization or within the M&O design organization. Evaluate the adequacy of the methodology used to make the determination. Determine how the M&O assures that externally supplied revisions meet the vendor's approved QA procedures. (Para. 5.10.2)		
20	Verify that upon receiving a request to void or supersede a design analysis or calculation, the Department Manager or designee determines whether the technical baseline is affected by the action and identifies all other design analyses or calculations that would be affected by the voidance or supersession. Evaluate the adequacy of the methodology used to make the determination. (Para. 5.11.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
21	Evaluate the adequacy of the methodology used to determine if the technical baseline is affected when a design analysis or calculation is voided or superseded. (Para. 5.11.1)		
22	Verify that the Originator: a. Updates the Design Analysis Revision Record indicating the revision and noting the voidance or supersession of the design analysis or calculation in its entirety. b. Prepares a Design Analysis Cover Sheer and notes in the "Remarks" section, the voidance or supersession of the design analysis or calculation and the reason for the action and cites the approved BCP if applicable. c. Signs and dates the Design Analysis Cover Sheet, obtains the approvals of the LDE and the Department Manager, distributes a copy to the manager of each affected department in accordance with QAP-3-12, and forwards the package to the Data Control Center in accordance with QAP-6-1. (Para. 5.11.2)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
23	If the design analysis or calculation being voided or superseded affects the technical baseline, verify the Department Manager or designee prepares a BCP citing the document to be voided, the reason for the voidance, the impact to other design analyses or calculations, and, if it is being superseded by another document, the superseding document, and submits the BCP to the appropriate BCCB in accordance with QAP-3-4. (Para. 5.11.3)		
24	Sample recipients of design analyses and calculations voidance or supersession documentation to verify that they have removed and destroyed the cancelled document and retained a copy of the Design Analysis Cover Sheet. (Para. 5.11.6)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
25	Verify that QA records have been submitted to the LRC in accordance with QAP-17-1. (Para. 6)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED CRWMS M&O	[2] [x] EXTERNAL [ ] INTERNAL	[3] [x] AUDIT [ ] SURVEILLANCE	[4] PREPARED BY Richard G. Peck DATE 5/19/94 Marlin Hoseman 5/31/94
[5] DATES OF EVALUATION June 6-24, 1994			
[6] CONTROLLING DOCUMENT (Title, Number, Revision) QAP-3-10, Rev. 3, P01, P02, P03, Engineering Drawings			[7] ACTIVITY EVALUATED Element 3, Design Control

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify that engineering drawings, engineering drawing revisions, and associated lists are numbered in accordance with QAP-3-13. (Para. 5.1.1)		
2	Verify that upon receipt of design input data (including changes), including those received in accordance with QAP-3-12, the Department Manager reviews the data for impact to the assigned structure, system, or components, determines if changes are required, and ensures the necessary changes are reflected in all applicable engineering drawings. (Para. 5.1.3)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify that the LDE provides all applicable design inputs and appropriate inspection and acceptance testing criteria to the preparer. (Para. 5.2.2)		
4	Verify that the preparer identifies and documents all applicable quality-affecting design inputs to the drawing. (Para. 5.2.5)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify the process used by the Department Manager to determine the reviews applicable to the engineering drawing: a. Engineering Drawing Check b. Interdiscipline Review (if required) c. External Review (if required) d. LDE Review e. Design Verification (if required) f. Department Manager Approval (Paras. 5.3.1, 5.5.1, 5.6, 5.8.1)		
6	Verify that the checkers check all engineering drawings for accuracy and completeness and that the Checker confirms that: a. The preparer used only the design inputs provided by the LDE b. The preparer documented all quality-affecting design inputs on the drawing c. Design inputs are traceable to documents such as calculations, specifications, BFDs, Design Drawing Input Lists, or tables referenced on the drawings d. The preparer indicated the appropriate QA classifications on the drawing(s) e. The preparer indicated the appropriate inspection and acceptance testing criteria on the drawing(s). (Para. 5.4.1)		

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 for interdiscipline review the reviewer(s) perform a review for conformance or proposed changes to their areas of work and coordinate any required changes to the review drawings with the preparer. (Para. 5.5.2)		
8	Verify that the LDE ensures that engineering drawings requiring verification as specified in QAP-3-0 are verified in accordance with QAP-3-2. (Para. 5.8.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9	For any case where unverified drawings or parts of drawings are released for use before verification, verify that the Department Manager has ensured that the unverified drawings or parts of drawings are clearly identified and controlled. (Para. 5.8.2) Determine the adequacy of the controls.		
10	For any engineering drawing changes, determine that the changes were processed in accordance with QAP-3-10. (Para. 5.11.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
11	Review Associated Lists for proper preparation, review, approval, and release. (Para. 5.12)		
12	Verify that QA records have been submitted to the LRC. (Para. 6)		

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

AUDIT/SURVEILLANCE NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED	[2]	[3]	[4]
CRWMS M&O	[x] EXTERNAL	[x] AUDIT	
[5] DATES OF EVALUATION June 6-24, 1994	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY Richard G. Peck DATE 5/2/94 Marlin Hoscwa 5/31/94

[6] CONTROLLING DOCUMENT (Title, Number, Revision)	[7] ACTIVITY EVALUATED
QAP-3-12, Rev. 3, P01, *External Transmission of Design Input Data*	Element 3, *Design Control*

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify that when a responsible manager makes the determination to transmit Design Input Data to an external organization, he/she processes the Design Input Data according to Section 5.3.1 through 5.5 of QAP-3-12. (Para. 5.1)		
2	Verify that when there is a request for design input data the data requestor completes the Design Input Data Request (Attachment I) and that the form includes: a. The data requester's name, organization, address, and telephone number. b. The scope of the Design Input Data requested (name of the document(s), if known) c. A description of the intended use of the data. d. A declaration as to whether or not the data will be used for work subject to the requirements of the QARD. e. Need date. f. Responsible manager's name, address, and telephone number, and organization. (Para. 5.2.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify the appropriate actions taken by the responsible manager concerning the Design Input Data Request (i.e. approval, disapproval, etc.) (Para. 5.2.2)		
4	Verify that the responsible manager completed the Design Input Data Transmittal (Attachment II) according to the instructions on Attachment III of QAP-3-12 and that: a. Transmittals identified the status of the design information or document provided, specifically identifying if the design information had been verified in accordance with QAP-3-2. b. Transmittals identified incomplete items that required further evaluation, review, and/or approval. (Para. 5.3.2)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that if the Design Input Data was the data needed, the data requestor/recipient: a. Checked the "correct data" box on the Design Input Data Transmittal. b. Signed and dated the form. c. Returned the form to the responsible manager within 10 working days of receipt of the data. (Para. 5.4.1)		
6	Verify that the responsible manager stores/protects the original Design Input Data Request form and a copy of the Design Input Data and the Design Input Data Transmittal in accordance with QAP-17-1. (Para. 5.3.3).		

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 if the Design Input Data was not the data needed, the data requester/recipient: a. Check the "incorrect data" box on the Design Input Data Transmittal. b. Signed and dated. c. Returned the form and Design Input Data to the responsible manager within 10 working days of receipt of the data. (Para. 5.4.2)		
8	Verify that the responsible manager transmitted updated, changed, or newly revised Design Input Data to all requesters/recipients of that data and that the responsible manager listed the changes in special instructions/comments (field 9) of the Design Input Data Transmittal. (Para. 5.5)		
9	Verify that QA records are submitted to the LRC. (Para. 6)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED	[2]	[3]	[4]
CRWMS M&O	[X] EXTERNAL	[X] AUDIT	
[5] DATES OF EVALUATION June 6-24, 1994	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY Richard E. Powe DATE 5/12/94 Marlin Borseman 5/31/94
[6] CONTROLLING DOCUMENT (Title, Number, Revision) QAP-3-13, Rev. 2 (6/18/93), *Document Identifiers*			[7] ACTIVITY EVALUATED Element 3, *Design Control*

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify responsible managers ensure document identifiers are assigned to documents within their organization. (Para. 5.4.1A)		
2	Verify that Amendment Request (Attachment III) is used to request additional document types for those not identified with document type code (Attachment II) per (Para. 5.4.1B)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify CM organization maintains a list of all document identifiers including: title, date, organization, and person responsible (Para. 5.4.2C); list shall include all reserve blocks of numbers assigned. (Para. 5.4.2D)		
4	Verify database is updated as necessary (Para. 5.4.2E) and identifiers are permanently assigned and not duplicated or reassigned. (Para. 5.4.2H)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify Software Configuration Management (SCM) ensure permanently assigned document identifiers, not duplicated or reassigned; maintains list and submits to CM organization. (Para. 5.4.3)		
6	Verify document originator determines identifier (sub-fields 1,2, and 3), revision number, DCN if applicable, before requesting sequence number. (Para. 5.4.4A)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	Verify software developer request site SCM organization assign identifier to CSCIs and CSCI documentation. (Para. 5.4.5A)		
8	Verify that document identifiers are placed on the cover page of document and CSCI media. (Para. 5.4.4E and 5.4.5.C)		
9	Verify document type amendment request are retained as a QA record. (Para. 6.1)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

[1] ORGANIZATION EVALUATED	[2]	[3]	[4]
CRWMS M&O	[X] EXTERNAL	[X] AUDIT	
[5] DATES OF EVALUATION June 6-24, 1994	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY Richard E. Powe DATE 5/12/94 Marlis Horseman 5/31/94
[6] CONTROLLING DOCUMENT (Title, Number, Revision) QAP-3-14, Rev. 2 (10/30/93), *Technical and Management Reviews*			[7] ACTIVITY EVALUATED Element 3, *Design Control*

[8] ITEM NO.	[9] CHARACTERISTICS TO BE EVALUATED	[10] REMARKS	[11] RESULTS
1	Verify each AGM or NSM reviews program schedules at least semi-annually for system designs to be reviewed. (Para. 5.3.1)		
2	Verify a Team Leader is assigned by the responsible AGM or NSM and that review information is documented on a Design Review Notice (QAP-3-2 Attachment V) and sent to the Cognizant Office Manager. (Para. 5.3.2)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify that the Review Team Leader develops a review plan which contains the aspects of Para. 5.4.3.A-E and plan is approved by AGM or NSM. (Paras. 5.4.4, 5.4.5)		
4	Verify that the review team composition is documented on QAP-3-2 Attachment VI and members are independent of the design and approved by cognizant Office Manager. (Paras. 5.4.6, 5.4.7)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify checklists are approved by the Team Leader (Para. 5.5.3) and preparation phase is documented by secretary prior to execution of the review. (Para. 5.5.5)		
6	Verify review comments/resolutions are documented per QAP-3-1 (Para. 5.6.5), unresolved issues are elevated to responsible management (Para. 5.6.6) and significant deficiencies are addressed per QAP-16-1. (Para. 5.6.7) Determine: a. Who decides "significance"? b. What is criteria for significant? c. How are "non-significant" deficiencies handled?		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	Verify Team Leader provides monthly status report on open items or issues and the appropriate AGM monitors status through closure. (Para. 5.6.8)		
8	Verify report includes the following: a. Scope b. Team c. Summary d. Significant problems/issues e. Open issues and actions to be taken f. Team recommendations (Para. 5.7.1.A-F)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9	Verify a records package is submitted to records management (LRC) and includes the following: a. Review plan b. Checklist or procedures c. Comment/resolution records d. Reviewer qualification records e. Review report f. Documentation regarding issues/closure as developed (Para. 5.7.4)		
10	Verify the records are retained per QAP-17-1. a. Design Review Notice b. Review Packages c. Design Review Team Selection Record d. Reviewer Qualification Statements e. Signed Statement(s) of Review Team Member's Independence f. Review Plans g. Completed Document Review Records h. Review Reports i. Completed Open Items Registers j. Completed Technical & Management Open Item Reports k. Review related correspondence (Para. 6A-6K)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

ORGANIZATION EVALUATED CRWMS M&O	[X] EXTERNAL	[X] AUDIT	
DATES OF EVALUATION June 6-24, 1994	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY Dennis Threatt DT DATE May 13, 1994 Marlin Hoaxum 5/31/94
CONTROLLING DOCUMENT (Title, Number, Revision) Procurement Document Control, QAP-4-1, Rev 2			ACTIVITY EVALUATED Element 4, Procurement Document Control

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS	RESULTS
1	Determine which options are selected for reviewing procurement documents. Determine how the options selected for procurement document review are evaluated to ensure the requirements of 5.1.3 are met. Verify that the reviews of procurement documents, subjected to the same review and approval approach simultaneously, meet the requirements of Section 5.1.3 for each document involved. (paras. 5.1.1, 5.1.2)		

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 review criteria are established prior to the review and include at least those items A through F and G3 in Attachment I that are applicable to reviews of the specific procurement (and type of document if a procurement plan, qualification criteria, evaluation criteria, or purchase requisition). Ensure the review criteria include consideration for applicability, correctness, technical adequacy completeness, accuracy and compliance with established procedures. (para. 5.1.3A)		
3	Verify that reviewers include a technical representative (other than the originator of the document being reviewed) and a QA representative. Also ensure that Affected Managers or others identified as required reviewers in the applicable procurement plan or by the Department Manager review the document. (para. 5.1.3B)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify that reviewers have been determined to be technically competent in the subject area being reviewed, have access to pertinent information, and have been determined to have an adequate understanding of the requirements and scope of the procurement. (para. 5.1.3C)		
5	Verify that the scope of the review covers all aspects of the procurement document (including Section 5.1.4 issues for changes) and that all applicable technical and quality assurance program requirements are included. (para. 5.1.3E)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify that mandatory review comments are documented and resolved before the procurement document is approved. (QAP-4-2, ¶ 5.1.3.F)		
7	Verify that procurement documents other than procurement plans, qualification criteria, evaluation criteria, and those procurement documents already subjected to a separate check, are subjected to a thorough check by a qualified individual other than the document preparer to see that the document is complete, accurate, contains all applicable technical requirements, and has been subjected to all required technical reviews, such as by QAP-3-8. (para. 5.1.3G)		

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

SHEET 5 OF 10
AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS

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 any changes to procurement documents receive the same degree of control as the original procurement document (para. 5.1.4)		
9	Verify that procurement documents include and/or reference applicable technical requirements as well as the applicable quality assurance requirements. (para. 5.2.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
10	Determine through interviews that the Preparer considers the technical and quality assurance requirements listed in the Procurement Document Content Considerations, Attachment I, and includes them as they would be applicable to the item and/or service to be procured. For procurements important to radiological safety, important to waste isolation, or important to radioactive waste control, verify that the supplier is advised in the procurement document that the provisions of the 10 CFR Part 21 apply. (para. 5.2.2)		
11	Verify that procurement documents for which any QAP-3-1 review documentation is to be used to satisfy some or all of the procurement document review requirements have a Procurement Document Review Record (PDRR) initiated by the Preparer which documents the results of the QAP-3-1 review evaluations. If any of the specific procurement document review requirements of Section 5.1.3 are only partially satisfied, verify that the limitations are explained on the PDRR. (paras. 5.3.1B, 5.3.3)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
12	Verify that the provisions of paragraphs 5.4.1 through 5.4.9 are satisfied during the procurement document review process. (para. 5.4)		
13	Verify that the Department Manager documents satisfactory completion of review requirements, where applicable, and approval of the revised procurement document on a PDAR. (para. 5.5.5)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
14	Verify that the QE Manager documents satisfactory completion of review requirements, where applicable, and approval of the revised procurement document on a PDAR. (para. 5.5.10)		
15	Verify that the Subcontracts and Purchasing Manager documents approval of the revised procurement document on a PDAR. (para. 5.5.15)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
16	Verify that the Preparer continues processing the procurement document in accordance with QAP-7-1. (para. 5.5.16)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

ORGANIZATION EVALUATED CRWMS M&O	[X] EXTERNAL	[X] AUDIT	
DATES OF EVALUATION June 6-24, 1994	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY Dennis Threatt DT Marlin Horseman 5/31/94 DATE May 17, 1994
CONTROLLING DOCUMENT (Title, Number, Revision) Preparation of M&O Quality Administrative Procedures, QAP-5-1, Rev 2, P01, P02, P03, P04			ACTIVITY EVALUATED Element 5, Implementing Documents

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS	RESULTS
1	Verify that the responsible manager appoints a procedure author to prepare a new QAP, a revision to a QAP, or a PCN and when determined to be satisfactory by the responsible manager, has a draft prepared for submittal to the QRB. (paras. 5.2, 5.6, 5.8)		

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 responsible manager prepares a Procedure Review Record (PRR) for each QRB member representing an organization with responsibilities in the draft to be reviewed, as well as M&O QA, and that each PRR includes minimum review criteria appropriate to the organization(s) represented by the reviewer. (para. 5.3.1)		
3	Verify that the responsible manager submits the draft and PRRs to the M&O QA Manager and that the M&O QA Manager review the submitted PRRs to assure that the QRB members requested to review the draft represent each organization affected by the draft, as well as M&O QA. Verify that the M&O QA Manager further assures that the review criteria specified will review all aspects of the draft and that the draft originator is not one of the reviewers. (paras. 5.3.2, 5.3.3)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Determine through interviews that QRB members review the draft using at least the PRR review criteria. Determine also that if the QRB members use others to assist in their review the QRB member assures adequacy of the review and represents the organization in resolution of mandatory comments. (para. 5.3.6)		
5	Verify that QRB members provide mandatory comments only on a PRR and that the author assures that resolutions of mandatory comments are documented on completed copies of the PRRs. (paras. 5.3.7, 5.3.8)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify that the results of the review and draft approval or disapproval are documented in QRB meeting minutes. (para. 5.3.9)		
7	Verify that after the QAP or PCN is approved, the signed original is submitted by the procedure author to the M&O Headquarters Document Control Center for distribution in accordance with QAP-6-1 and that Forms Management releases copies of any new forms for use at the same time the QAP is released. (paras. 5.4.1, 5.4.2, 5.6.4, 5.6.5, 5.8.6, 5.8.7)		

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

SHEET 5 OF 11
AUDIT/SURVEILLANCE
NO. HQ-94-02

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 procedure author prepares an update to the QARD requirements matrix, has it approved by the responsible manager, and submits the update to the M&O QA Manager for processing. (paras. 5.4.3, 5.6.6, 5.8.8)		
9	Verify that proposed QAP modifications are documented on a PCN form and sent to the responsible manager identified in the QAP to be modified with a copy of the PCN form sent to the M&O QA Manager by the PCN preparer. (para. 5.5.1)		

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 upon review of the recommended modification, if the responsible manager elects not to modify the QAP, the explanation is provided to the PCN preparer by the responsible manager and a copy of the explanation sent to the M&O QA Manager. (para. 5.5.2A)		
11	Verify that upon review of the recommended modification, if the responsible manager determines that modification is needed, the responsible manager: processes a QAP revision; processes a PCN; processes an expedited PCN; or processes a QAP cancellation. (paras. 5.5.2B, C, D, E)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
12	Verify that, after a QAP revision or PCN is approved, the author prepares a History of Changes for that revision, has it reviewed and approved by the responsible manager, and includes it in the QA records package for that revision. (paras. 5.6.7, 5.8.9)		
13	Verify that when a local department manager and location QA manager agree that an immediate procedure change by expedited PCN is necessary to prevent a situation where work would be unavoidably stopped, they designate a change author to prepare an expedited PCN. (para. 5.7.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
14	Verify that the expedited PCN is signed by the cognizant department or responsible manager and the cognizant location QA Manager. (para. 5.7.3)		
15	Verify that the expedited PCN approved by the Department Manager and the location QA Manager is effective for only 20 working days and the effective date mutually agreed between the cognizant department manager or responsible manager and the cognizant location manager. (para. 5.7.5)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
16	Verify that, upon receipt of the expedited PCN copy the responsible manager initiates processing of a PCN revision for incorporation of the expedited PCN. Verify that the responsible manager assures that the incorporating PCN revision is approved prior to expiration of the expedited PCN. (para. 5.7.6)		
17	Verify that, if the approved PCN is different from the expedited PCN, the M&O QA Manager reviews the differences and if questions arise about the work performed in accordance with the expedited PCN, the M&O QA Manager requires the responsible manager to evaluate that work. (para. 5.8.4)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
18	Verify that the M&O QA Manager has the QARD requirements matrix input reviewed by a QA representative to assure that: A. All applicable QARD requirements are addressed B. Adequate justification is provided where a requirement is determined to be not applicable C. Adequate justification is provided for any exceptions being taken to QARD requirements. (para. 5.10.1)		
19	Verify that each QAP is reviewed by or for the responsible manager for adequacy and compliance with requirements at least once every two years and when upper tier documents (such as the QARD) change. (para. 5.11.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
20	Verify that the Office Manager determines if reviews of documents begun under earlier modifications of a QAP may continue to completion under the old procedural requirements, or be cancelled and restarted under the new requirements of the QAP.		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

1 ORGANIZATION EVALUATED	2	3	4
CRWMS M&O	[X] EXTERNAL	[X] AUDIT	
5 DATES OF EVALUATION June 6-24, 1994	[ ] INTERNAL	[ ] SURVEILLANCE	PREPARED BY Dennis Threatt DT DATE May 18, 1994 Marlin Horseman 5/31/94

6 CONTROLLING DOCUMENT (Title, Number, Revision)	7 ACTIVITY EVALUATED
Preparation of M&O Implementing Line Procedures, QAP-5-2, Rev 0, P01	Element 5, Implementing Documents

8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS	11 RESULTS
1	Verify that the responsible manager appoints a procedure author who prepares a new ILP, ILP revision, ILP PCN, or ILP PCN revision and, when satisfactory, has it finalized as a draft for review. (para. 5.2)		

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

SHEET 2 OF 9
AUDIT/SURVEILLANCE
NO. HQ-94-02

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 responsible manager prepares an ILP Review Record for each interfacing manager with responsibilities in the draft to be reviewed, as well as for the cognizant location QA manager and the Secretariat or Support Operations (NV) in their area of responsibility. Verify that the IRR specifies the minimum review criteria appropriate to the organization(s) represented by the reviewer. (para. 5.3.1)		
3	Verify that the location QA Manager ensures that the managers requested to review the draft represent each organization affected by the draft, that the review criteria specified will review all aspects of the draft and that the draft originator is not one of the reviewers. (para. 5.3.3)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Determine through interviews that each manager receiving an IRR reviews the draft using at least the specified review criteria and, if the manager obtains assistance from others in the review, the manager assures adequacy of the review. (para. 5.3.5)		
5	Verify that the procedure author incorporates mandatory comment resolutions into a concurrence draft, initiates an ILP Concurrence Sheet, and gives the concurrence draft, completed IRRs, and the ILP Concurrence Sheet to the responsible manager for review. (para. 5.3.8)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify that the responsible manager and the location QA manager sign the ILP Concurrence Sheet indicating review and acceptance of the draft review and comment resolution. (paras. 5.3.9, 5.3.10, 5.3.11, 5.3.12)		
7	Verify that approval of the draft is documented by signature of the cognizant Office Manager and the location QA Manager. (para. 5.3.16)		

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 responsible manager coordinates with the cognizant Training Manager to arrange any training. (para. 5.1.6)		
9	Verify that proposed QAP modifications are documented on a PCN form and sent to the responsible manager identified in the ILP to be modified with a copy of the PCN form sent to the cognizant location QA Manager by the PCN preparer. (para. 5.5.1)		

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 upon review of the recommended modification, if the responsible manager elects not to modify the ILP, the explanation is provided to the PCN preparer by the responsible manager and a copy of the explanation sent to the location QA Manager. (para. 5.5.2A)		
11	Verify that upon review of the recommended modification, if the responsible manager determines that modification is needed, the responsible manager: processes a ILP revision; processes a PCN; or processes a ILP cancellation. (paras. 5.5.2B, C, D)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
12	Verify that after the ILP or PCN is approved, the signed original is submitted by the procedure author to the local Document Control Center for distribution in accordance with QAP-6-1 and that Forms Management releases copies of any new forms for use at the same time the ILP or PCN is released. (paras. 5.4.1, 5.4.2, 5.6.4, 5.6.5, 5.7.4, 5.7.5, 5.8.4, 5.8.5)		
13	Verify that, for new issues, revisions, and cancellations, the procedure author prepares an update to the QARD requirements matrix, has it approved by the responsible manager, and submits the update to the M&O QA Manager for processing. (paras. 5.4.3, 5.6.6, 5.7.6, 5.8.6)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS *Record objective evidence reviewed, method of verification, personnel contacted*	RESULTS
14	Verify that, after an ILP revision, cancellation, or PCN is approved, the author prepares a History of Changes for that revision and has it reviewed and approved by the responsible manager. (paras. 5.6.7, 5.7.7, 5.8.7)		
15	Verify that each ILP is reviewed by or for the responsible manager for adequacy and compliance with requirements at least once every two years and when upper tier documents (such as the QARD) change. (para. 5.9.1)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
16	Verify that ILPs comply with Attachment VII, Section A, especially in regards to the designation of QA Records as Lifetime or Nonpermanent. (Att. VII, Section A & QAP-5-1, Att. I, paras. 6.1, 6.2)		
17	Verify that QA Records are submitted to the LRC in accordance with QAP-17-1. (Section 6)		

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

AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

1 ORGANIZATION EVALUATED CRWMS M&O	2 [X] EXTERNAL [ ] INTERNAL	3 [X] AUDIT [ ] SURVEILLANCE	4 PREPARED BY Dennis Threatt DATE June 1, 1994
5 DATES OF EVALUATION June 6-24, 1994			Marlin Hoesman 6/1/94
6 CONTROLLING DOCUMENT (Title, Number, Revision) *Control of Purchased Items and Services, QAP-7-1, Rev 2, P01*			7 ACTIVITY EVALUATED Element 7, Control of Purchased Items and Services

8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS	11 RESULTS
1	Verify that proposed procurements have been determined to be subject to QARD requirements by: A. Evaluation of the planned procurement in accordance with QAP-2-3. B. Evaluation of the planned procurement in accordance with QAP-2-0. C. Determination to purchase approved software from a source outside the M&O as described in QAP-19-4. D. Approval by the Task Manager and the Q Manager of a Procurement Plan that states that the work is subject to QARD requirements. (Para. 5.1.1)		

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

SHEET 2 OF 20
AUDIT/SURVEILLANCE
NO. HQ-94-02

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 Task Manager designates a Plan Preparer who prepares and documents a plan to ensure a systematic approach to the procurement process. Determine that in consideration of the level of importance, complexity, and quantity of the item or service to be procured and quality performance of potential offerers, if known, the plan includes: A. What is to be accomplished by the supplier and by the M&O B. Who is to accomplish it C. How it is to be accomplished D. When it is to be accomplished, including a sequence of actions and milestones needed to effectively complete the procurement E. Organizational responsibilities and procurement methods F Use of a Source Selection Official and a Source Evaluation Board (if applicable) G. Technical and quality assurance requirements (to be refined further in applicable procurement documents) H. Approach to be used for offerer qualification, proposal evaluation, and selection of suppliers. I. Alternate requirements for Commercial Grade Items, if appropriate. (Para. 5.2.1)		

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

SHEET 3 OF 20
AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify that the Plan Preparer identifies in the Procurement Plan that the procurement is subject to QARD requirements and provides for preparation of applicable documents (including time for required training) prior to initiation of each of the activities. (Para. 5.2.2)		

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

SHEET 4 OF 20
AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify that the Plan Preparer provides for integration of the following activities in the Procurement Plan: A. Procurement document preparation, review, approval, and change control in accordance with QAP-7-1 and QAP-4-1 B. Solicitation C. Proposal evaluation and qualification of offerers D. Subcontract award (including procurement source selection) E. Monitoring and evaluation of supplier performance to include: 1. Verification (surveillance, inspection, or audit) activities by the M&O including notifications for any hold and witness points 2. Control of supplier nonconformances 3. Supplier corrective action F Acceptance of the item or service G. Identification of quality assurance records. (Para. 5.2.3)		

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

SHEET 5 OF 20
AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that the approved plan is distributed by the Plan Preparer to the Task Manager, Q Manager, Affected Manager(s), the Subcontracts and Purchasing Manager and a copy of the approved plan with associated review and approval documents are submitted to the LRC in accordance with QAP-17-1. (Paras. 5.2.5, 5.2.6)		
6	Verify that the Task Manager designates one or more Preparers to process the procurement documents identified in the Procurement Plan and that the designated Preparer(s) prepare and/or obtain review and approval of the applicable procurement document(s) identified in the Procurement Plan in accordance with QAP-4-1. (Paras. 5.3.1, 5.3.2)		

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 designated Preparer (or SEB, if used) develops offerer qualification criteria for the planned procurement supplemental to the criteria in Item 12, if required, and finishes supplemental qualification criteria preparation, review, and approval in accordance with QAP-4-1. (Para. 5.3.3)		
8	Verify that the Procurement Document Preparer (or SEB, if used) develops technical (may include performance and/or operational considerations, as applicable) and quality proposal evaluation criteria supplemental to the following, if required: A. Technical considerations B. Quality assurance program requirements C. Supplier personnel D. Supplier production capabilities E. Supplier past performance F Supplier recommended alternatives G. Supplier exceptions to technical and/or quality requirements. (Para. 5.3.4)		

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 the designated Preparer obtains the review and approval of the procurement authorization package in accordance with QAP-4-1 and the appropriate Purchase Requisition business approvals and gives the procurement authorization package (with appropriate review and approval documentation) to the Subcontracts and Purchasing Manager. (Paras. 5.3.6, 5.3.7)		
10	Verify that the final solicitation package is submitted by the Subcontract Specialist/Buyer (SS/B) to the Task Manager and the Q Manager for review and approval in accordance with QAP-4-1, prior to release. (Para. 5.4.2)		

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 the SS/B submits potentially qualified offerers for a procurement subject to QARD requirements to be evaluated by the Q Manager and the Task Manager before the subcontract is awarded to determine the offerers' capability to provide items or services in accordance with procurement document requirements. (Para. 5.5.1)		
12	Verify that the Q Manager and the Task Manager use measures to evaluate potentially qualified offerers (or potential offerers) that include one or more of the following elements: A. Evaluation of offerer's history of providing identical or similar products that have performed satisfactorily in actual use B. Evaluation of offerer's current quality assurance records supported by any documented qualitative and quantitative information C. Evaluation of the offerer's technical and quality capability based on an evaluation of offerer's facilities, personnel, and quality assurance program implementation. (Para. 5.5.2)		

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 the Q Manager and the Task Manager document the results of the offerer evaluation on an Offerer/Proposal Evaluation Record (Attachment I) and send the completed form to the SS/B. (Para. 5.5.3)		
14	Verify that the SS/B has qualified proposals evaluated for extent of conformance to the procurement document requirements by the Task Manager and the Q Manager using the technical and quality proposal evaluation criteria. (Para. 5.6.2)		

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 Task Manager and the Q Manager document the proposal evaluation on an Offerer/Proposal Evaluation Record (Attachment I) and send the completed form to the SS/B. (Para. 5.6.3)		
16	Verify that the Q Manager documents the results of the offerer's quality assurance program evaluation on an Offerer/Proposal Evaluation Record and sends the completed form to the SS/B. Verify that any deficiencies in the offerer's QA program are documented on the Offerer/Proposal Evaluation Record. (Para. 5.6.8)		

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, prior to subcontract award, the SS/B obtains review and approval of the contents of the subcontract (including selected supplier and any quality assurance or technical requirements supplemental to the approved procurement documents) in accordance with QAP-4-1. (Para. 5.7.2)		
18	Verify that, as part of the QAP-4-1 review, the Q Manager assures that the selected supplier has been evaluated for capability to provide the items or services being purchased in accordance with paragraph 5.5.2 and that: A. The selected supplier has had its quality assurance program evaluated, any deficiencies that would affect quality have been corrected, and acceptance of the offerer's quality assurance program has been documented, or B. The selected supplier has had its quality assurance program evaluated, the SS/B has obtained commitments from the supplier to correct deficiencies that would affect quality, and the subcontract contains the provision to not start work subject to QARD requirements until the deficiencies are corrected and the QA Program approved by the M&O. C. The selected supplier has not had its quality assurance program evaluated and the subcontract contains the provision to not start work subject to QARD requirements until the QA Program is approved by the M&O. (Para. 5.7.3)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
19	Verify that the Q Manager, in coordination with the Task Manager and the SS/B, establishes measures to interface with the supplier and to verify the supplier's performance and that the planned measures are documented on a Supplier Performance Evaluation Plan/Record, including: A. Establishing an understanding with the supplier of the requirements and specifications identified in the procurement documents B. Requiring supplier to identify planning techniques and processes to be utilized in fulfilling procurement document requirements C. Reviewing supplier quality and/or technical documents prepared or processed during work performed to fulfill procurement requirements D. Identifying and processing necessary change information E. Establishing method to be used to document information exchanges between the M&O and the supplier F Establishing the extent of supplier surveillance and inspection. (Para. 5.8.2)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
20	Verify that the Q Manager, in coordination with the Task Manager, conducts an annual evaluation of the supplier's performance during the period while one or more M&O procurements with the supplier are active. Verify that the evaluation is done in accordance with paragraph 5.8.7 A, B, C, D. (Para. 5.8.7)		
21	Verify that the Q Manager (in coordination with the Task Manager, as required) assigns qualified M&O personnel to perform supplier quality performance evaluation activities, as early as practical. (Para. 5.8.8)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
22	Verify that the Q Manager has evaluation activities documented on the applicable Supplier Performance Evaluation Plan/Record and copies provided to the SS/B when completed. (Para. 5.8.9)		
23	Verify that the SS/B coordinates technical and/or quality related document review (including evaluation of technical, inspection, and test data compared against the acceptance criteria) by the Task Manager and the Q Manager and the results documented on a Supplier Document Evaluation Record with the original submitted to the SS/B. (Paras. 5.10.1, 5.10.3)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
24	Verify that the Q Manager in coordination with the Task Manager assures that the planned acceptance methods as appropriate to the specified procurement are performed as listed on the Supplier Performance Evaluation Plan/Record. (Para. 5.9.1)		
25	Verify that the Q Manager and the Task Manager review the M&O evaluation and acceptance documentation, including the items below, as applicable, to confirm completeness, accuracy and conformance with requirements; that the reviews are documented on a Documentation Evaluation Record; and the reviews are completed prior to final acceptance and release for M&O use. A. Results of the receiving inspection B. Review of supplier documents submitted C. Review and resolution of reported nonconformances. (Para. 5.9.4)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
26	Verify that the Q Manager (in coordination with the Task Manager, as required) prepare and document an inspection plan for receiving inspection to be performed. (Para. 5.11.1)		
27	Determine if statistical sampling methods are used to verify acceptability of a group of items and, if used, are based on recognized standard practices. (Para. 5.11.2)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS *Record objective evidence reviewed, method of verification, personnel contacted*	RESULTS
28	Verify that the Q Manager assures that M&O QA personnel authorized by the Q Manager document results of the receiving inspection on a Receiving Inspection Record. (Para. 5.11.5)		
29	Verify that the Q Manager assures that unsatisfactory conditions found during receiving inspection and not already documented on a CAR are documented and processed in accordance with QAP-16-1. (Para. 5.11.6)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
30	Verify that the Task Manager and Q Manager review supplier nonconformance reports and document the results of the review on a Supplier Document Evaluation Record. Verify that the Task Manager documents acceptance (or approval, if applicable) or rejection of the supplier's recommended disposition and the Q Manager documents concurrence with the proposed remedial action and, if applicable, the root cause and actions taken to preclude recurrence. (Paras. 5.12.2, 5.12.5)		
31	Verify that the SS/B obtains written verification from the supplier that the M&O approved disposition to a nonconformance has been implemented and sends it to the Q Manager for review and verification. (Para. 5.12.10)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
32	Verify that the SS/B obtains review and approval of changes to the scope of work, technical requirements, quality assurance program requirements, right of access, documentation requirements, nonconformances, hold points, and lists of spare and replacement parts provisions of the subcontract in accordance with QAP-4-1 before release of a subcontract change order. (Para. 5.13)		
33	Verify that documented approval of a commercial grade item (including permitted substitution) is in either an approved procurement document or on a Procurement Document Approval Record applicable to the procurement and that the approval meets the requirements of QAP-7-1. (Para. 5.14.2)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
34	Verify that QA records have been submitted to the LRC by the SS/B. (Section 6)		