

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

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AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

CRWMS M&O		<input checked="" type="checkbox"/> EXTERNAL	<input checked="" type="checkbox"/> AUDIT		
° DATES OF EVALUATION June 6-24, 1994		<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	PREPARED BY <u>Robert Holliday</u>	DATE <u>4/28/94</u>
° CONTROLLING DOCUMENT (Title, Number, Revision) QAP-12-1, Rev. 0, P01 <i>Control of Measuring & Test Equipment & Calibration Standards</i>				7 ACTIVITY EVALUATED Element 12, <i>Control of Measuring and Test Equipment</i>	
9 ITEM NO.	° CHARACTERISTICS TO BE EVALUATED			10 REMARKS	11 RESULTS
1	Determine if M&TE or calibration standards are used at this M&O facility.				

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify that M&TE and calibration standards possess permanent identifying designations (i.e., serial number, model number, etc.) which allow for traceability. (Para. 5.5.1)		
3	Verify that the Responsible Manager (RM) maintains calibration data or an Equipment Calibration/History Record. (Paras. 5.3.3, 5.5.1)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	<p>Verify that the RM assigns proper identification to M&TE and calibration standards, and assures calibration prior to each usage as follows:</p> <ul style="list-style-type: none"> a. For the intended use b. Calibrated at the appropriate intervals specified for the item. c. M&TE used in one-time-only applications are calibrated before and after each usage. (Paras. 5.1.1, 5.1.2, 5.1.3, 5.2.1) 		
5	<p>Verify if any M&TE or Standards have been considered out-of-calibration (i.e., due to date/interval passed, device known or suspected to be in error, device has been damaged?) If so, verify that the provisions of paragraph 5.4 have been met. (Paras. 5.1.4, 5.4)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Determine if any calibrations of M&TE or calibration standards have been performed by an outside vendor or laboratory. If so, were the vendors/laboratories approved by M&O QA or was it an OCRWM QA approved source? (Para. 5.2.1)		
7	Verify that M&TE or Standards that have been removed from the calibration program has been properly designated and/or stored. (Paras. 5.7, 5.8).		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8	Verify that QA Records as a result of this procedure are being collected and maintained in accordance with QAP-17-1 and have been submitted to the LRC. (Para. 6)		

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5 DATES OF EVALUATION June 6-24, 1994		<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	PREPARED BY <u>Robert Holliday</u> DATE <u>4/28/94</u> <i>Marlin Horasman 5/3/94</i>	
6 CONTROLLING DOCUMENT (Title, Number, Revision) QAP-6-1, Rev. 2, <i>Document Control</i>			7 ACTIVITY EVALUATED Element 2, <i>Document Control</i>		
8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS		11 RESULTS	
1	Determine, through interviews and reviews, what types of documents are designated as controlled. (Para. 5.1.1)				

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify through review of a list of technical documents that those prescribing technical requirements have been controlled in accordance with this QAP. (Para. 5.1.1)		
3	Select five controlled documents for evaluation. Verify that for each selected document, there exists a completed Document Control Action Request. (Para. 5.1.4) and Controlled Documented Instructions. (Para. 5.2.4)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Determine, through reviews, that each recipient acknowledged receipt. (Para. 5.2.10 and 5.3.1)		
5	Determine, through reviews, that follow-up per Para. 5.2.10 and 5.2.11 was taken for each delinquent recipient.		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Select a sample of recipients. Verify that each recipient has the current document and previous revisions have been destroyed or were "decontrolled" or "superseded". (Para. 5.3.2 through 5.3.4)		

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¹ ORGANIZATION EVALUATED CRWMS M&O		² <input checked="" type="checkbox"/> EXTERNAL	³ <input checked="" type="checkbox"/> AUDIT	⁴ PREPARED BY <u>Norman Frank</u> DATE <u>5/2/94</u> <i>Marlin Housman 5/31/94</i>	
⁵ DATES OF EVALUATION June 6-24, 1994		<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE		
⁶ CONTROLLING DOCUMENT (Title, Number, Revision) QAP-16-1, <i>Corrective Action</i> , Rev. 1				⁷ ACTIVITY EVALUATED Element 16, Corrective Action Report Process	
⁸ ITEM NO.	⁹ CHARACTERISTICS TO BE EVALUATED	¹⁰ REMARKS		¹¹ RESULTS	
1	<p>Review QAP-16-1 for adequate definition of the Corrective Action Report process.</p> <p><u>Questions That Arose From Review and Flowcharting of QAP-16-1, Rev. 1, Corrective Action</u></p> <p>a. Subsection 5.3 (wording) and paragraph 5.3.2 are out of place, sequentially. The wording in Subsection 5.3 is particularly flagrant.</p> <p>b. Verify that redundant actions for "significant" and "nonsignificant" adverse conditions contained in paragraphs 5.5.2/5.6.6 are corrected. (CAR HQ-93-13)</p> <p>c. Verify that paragraphs 5.5.1 and 5.6.5 have clarified any differences regarding "intent" and "extent" of investigation. (CAR HQ-93-13)</p>				

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify that, for CARs determined to be not valid, the QAR documents the rationale for the decision in field 7, signs the CAR in field 4 and annotates the CAR and CAR log as VOID. (Paras. 5.3.1, 5.3.2)		
3	Review the CAR log to determine if any repetitive conditions have been identified; or if deficiencies have been noted that could affect activities or items subject to QA program controls; or activities have been performed without approved procedures or by unqualified personnel. If yes, determine the adequacy of the rationale used to justify why a stop work condition was not identified. (Para. 5.3.4)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify that for all CARs, the interfacing manager investigates the reported condition, documents the results of the investigation and proposes a remedial action. (Paras. 5.5.1, 5.6.1)		
5	<p>Verify that for CARs classified as "significant", the interfacing manager investigates and determines the root cause, documents the investigation and the root cause determination, determines the action necessary to prevent recurrence, and documents the proposed action including a completion date commitment.</p> <p>Verify that the interfacing managers used DOE-STD-1004 "Root Cause Analysis Guidance Document" to determine the root cause. (Para. 5.6.3)</p> <p>For any noted repetitive conditions, review the documented root cause determination to determine why the deficiency was repeated.</p>		

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6	Verify that the QAR reviews the objective evidence of corrective action completion and ensures that all action to prevent recurrence and remedial action have been completed as described on the CAR, and that all documentation is satisfactory within 30 calendar days. (Para. 5.6.7)		
7	Verify that the QAR tracks the progress and status of CARs and documents in the status in the CAR status log. (Para. 5.7.1)		
8	Verify that QA records have been submitted to the LRC in accordance with QAP-17-1. (Para. 6.)		

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5 DATES OF EVALUATION June 6-24, 1994			

6 CONTROLLING DOCUMENT (Title, Number, Revision) QAP-16-2, Rev. 1, Stop Work	7 ACTIVITY EVALUATED Element 16, Stop Work Process
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8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS	11 RESULTS
1	<p>Review QAP-16-2 for adequate definition of the reporting process.</p> <p><u>Questions That Arose From Review and Flowcharting of QAP-16-2, Rev. 1, Stop Work</u></p> <p>a. Paragraph 5.1.1 does not discuss initiating the SWNR and obtaining a serial number when the action comes from QAP-16-1. This is different from the second part of the paragraph that says these actions are done by anyone in the CRWMS M&O organization.</p> <p>b. Paragraph 5.1.2 does not say who determines whether the affected work is done by an M&O subcontractor or consultant.</p> <p>c. Paragraph 5.1.2 does not say who is to handle the stop work per the FARs, nor does it say how the QA Manager is made aware of the duty to notify the M&O contractor/subcontractor manager.</p> <p>d. Paragraph 5.1.2 does not point out what to do after notifying the M&O contractor/subcontractor manager. Does processing pick up at Paragraph 5.1.3 or is all further processing done per the FARs?</p>		

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1 cont	<p>e. Paragraph 5.1.5 fails to say the LQAM is to sign Field 4. It also fails to say to forward the SWNR to the M&O QA Manager. The M&O QA Manager is told to sign and date, but isn't told why. It also doesn't say how the SWNR gets to the QAR for transmittal to the LRC.</p> <p>f. Paragraph 5.1.6 points out that the M&O QA Manager does not have stop work authority. This is in violation of the QARD. (Para. 1.2.2H of QARD)</p> <p>g. Paragraphs 5.1.1, 5.1.5, 5.1.7A all require obtaining a SWNR serial number. This appears to be redundant and confusing to the user.</p> <p>h. Paragraph 5.1.7B has another CAR being initiated. This appears to be redundant and confusing to the user.</p> <p>i. Paragraph 5.1.7E has the "Responsible Manager and/or Contracting Officer" signing and dating the SWNR. Under what circumstances do both have to sign? Also, why are they signing at all? No reason is given.</p> <p>j. Paragraph 5.2.4 has the "Responsible Manager and/or Contracting Officer" giving written authorization to start. Under what circumstances do both have to give authorization?</p>		

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1 cont	<p>k. Paragraph 5.2.5 notifies the Responsible Manager and/or Contracting Officer to start work, while the previous paragraph has the Responsible Manager and/or Contracting Officer giving written authorization to start. Seems they are giving written authorization to start before they are notified they can do so. Paragraphs are out of sequence.</p> <p>l. Paragraph 5.3.1 has the "Responsible Manager and/or Contracting Officer" acknowledging closeout. Under what circumstances do both have to acknowledge?</p> <p>m. Paragraph 5.3.1 - How does the SWNR get from the LQAM to the QAR?</p>		
2	<p>Verify that the QAR administers the Stop Work Notification Report Process when evaluation of a significant condition adverse to quality performed in accordance with QAP-16-1 indicates a Stop Work condition exists. (Para. 5.1.1)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Determine through interviews with M&O personnel, that an adequate understanding exists of the role and responsibilities of the Location QA Manager in the Stop Work Notification Report Process.		
4	Verify that all QA records have been submitted to the LRC in accordance with QAP-17-1. (Para. 6)		

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⁵ DATES OF EVALUATION June 6-24, 1994			⁶ CONTROLLING DOCUMENT (Title, Number, Revision) QAP-17-1, Rev. 3, P01, <i>Record Source Responsibilities for QA Records</i>	
⁷ ACTIVITY EVALUATED Element 17, <i>Quality Assurance Records</i>			⁸ CONTROLLING DOCUMENT (Title, Number, Revision) QAP-17-1, Rev. 3, P01, <i>Record Source Responsibilities for QA Records</i>	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS	RESULTS	
1	<p>Through interviews and a sample review of QA Records/Records Packages submitted to the LRC, verify that the Records Sources have:</p> <ul style="list-style-type: none"> a. Ensured that records created are legible, accurate, and complete. b. Placed the QA designator, WBS number, and the DI in the upper-right corner of the first page of each record, with the SCP number in the title of the document, as appropriate, including the Table of Contents (Attachment I) for a records package; c. Created a title that concisely and clearly identifies and describes the contents of the record. d. Indicated the category of the draft; on the first page of draft documents, when applicable. e. Ensured that no recorded information is obliterated due to tearing or folding of the record. When portions of a record are obliterated and cannot be replaced, verify that the Record Source has included a signed and dated statement that indicates the impact of the obliterated information on the technical meaning or content of the record. 			

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1 cont	<p>f. Ensured that all fields in QA forms contained information or is marked with "N/A" unless the record clearly states that only a portion of the record must be completed. (It is acceptable to write "N/A" in the first blank and draw a line through the additional blanks).</p> <p>g. Dark ink against a light background was used. (Drawings and calculations may be completed in pencil).</p> <p>h. Obtained an accession number from the LRC staff and placed it on the inside back cover or within the acknowledgement section of final technical and scientific reports prior to publication.</p> <p>i. Authenticated all QA records by one of the following methods:</p> <ul style="list-style-type: none"> • stamped, initiated, or signed and dated the documents, or • provided a statement by the responsible individual or organization attesting to the authenticity of the record if the nature of the record precludes sampling or signing. (Handwritten signatures are not required if the responsible individual or organization is clearly identified). <p>j. Processed Electronic Records by labeling externally per this procedure and providing adequate documentation to permit services and interpretation of contents. (Para. 5.1)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Select a sample of organizations and verify that the list of Authenticators is current. (Para. 5.2)		
3	Verify through interview, record review, and review of qualification records, that authenticators have the expertise and familiarity to attest that the information contained within a record is: a. Legible; b. Accurate; c. Complete; and d. Appropriate to the work accomplished. (Para. 3.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	<p>Through interviews and observation, verify that QA records are protected from deterioration, loss or damage in accordance with the following precautions:</p> <ul style="list-style-type: none"> a. Protect records/records-in-progress against damage from liquids and moisture. b. Keep smoking materials and other heat sources away from records/records-in-progress. c. Keep magnetic media away from sources of magnetic fields (e.g., telephones) to avoid loss of recorded information. d. Lock/secure records/records-in-progress when unattended. (Para. 5.3) 		
5	<p>Through a sample interview of Authenticators from different organizations as listed on the "List of Authenticators", evaluate rationale of what is considered an act of Authentication of Records and when a record is "complete". (Paras. 5.2.1, 5.4.3)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	<p>Verify that QA records, required by QAPs and/or other applicable procedures, are submitted to the LRC as follows:</p> <ul style="list-style-type: none"> a. Accompanied by a transmittal transferring custodianship of the record from the sender to the receiver; b. Individual records and records packages are authenticated prior to turnover to LRC. c. Drawings and oversized records are not folded. They are submitted flat or rolled, whenever possible. d. A Special Instruction Sheet (reference Attachment III) accompanies oversized, one-of-a-kind, special-processed, and electronic records being submitted to the LRC. e. Two copies of electronic records are submitted to the LRC. f. Records may be originals or copies. g. Records are submitted in the form of individual records, records package segments, or complete records packages. <p>(Paras. 5.4, 5.5, 5.6, 5.7)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	Evaluate the rational for the requirement to submit records to the LRC within 10 days at the Nevada Site and 20 days in other locations. (Para. 5.4.3)		
8	Verify that, Record Sources or designated individuals have made corrections to errors or any other changes by drawing a single line of dark ink through the incorrect/changed information, placing the correct information in close proximity, and dating and signing or initialing the change. (Para. 5.8)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9	Verify that corrected QA records been re-authenticated by the Record Source and re-approved if applicable. (Para. 5.8)		
10	Verify that error corrections after submittal to the LRC, are handled using a Record Discrepancy Notice (RDN), when appropriate. (Paras. 5.9, 5.10)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
11	Verify that records identified by audit team members are: a. At the LRC b. Organized within the package. (General)		

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⁵ DATES OF EVALUATION June 6-24, 1994			⁷ ACTIVITY EVALUATED Element 17, Quality Assurance Records
⁶ CONTROLLING DOCUMENT (Title, Number, Revision) QAP-17-2, Rev. 1, P01, <i>Receipt and Handling of QA Records and Records Packages</i>			
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS	RESULTS
1	Verify that the LRC is handling QA Records in accordance with this receipt control system. (Para. 5.1) a. transmittal (Para. 5.1.2) b. QA records protected in transit (Para. 5.1.3) c. records within the LRC (Para. 5.1.4) d. lost, damaged records handling (Paras. 5.1.5, 5.1.6) e. authenticator list (Para. 5.1.7) f. privileged records (Para. 5.1.8) g. special handling records (Paras. 5.1.9, 5.1.10)		
2	Verify that the LRC staff receives records/records packages from Records Sources in accordance with the M&O's QAP 17.1, YMSCO's AP-1.18Q, and/or OCRWM's QAAP 17.1 as applicable. (Para. 5.1.1)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	<p>Verify the adequacy of the process for handling Record Package segments. (Para. 5.2)</p> <p>a. record package tracking numbers (Paras. 5.2.1, 5.2.2)</p> <p>b. transmit completed packages to Record Source (evaluate the potential dangers and loss associated with this package). (Paras. 5.2.3, 5.2.4)</p>		
4	<p>Verify that Records Packages are screened:</p> <p>a. program-relevancy (Para. 5.3)</p> <p>b. licensing-relevancy (Para. 5.4)</p> <p>c. discrepancies (Para. 5.5)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that the LRC staff reviews each records/records package to verify compliance with criteria for the creation and submittal of records in the M&O's QAP 17-1, YMSCO's AP-1.18Q, and/or OCRWM's QAAP 17.1 as applicable. (Para. 5.5.1)		
6	Verify that discrepancies are handled using the Record Discrepancy Notice (RDN) form. (Paras. 5.5.4, 5.5.6, 5.5.7)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	Verify that the LRC performs a check for duplication of QA Records (with the Records Information System (RIS)), and for non-duplicate records an accession number. (Para. 5.6)		
8	Verify that the QA Records packages are properly transmitted to the CRF. Also verify the adequacy of the record protection during transit. (Para. 5.8)		

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9	Verify that the access, retrieval and disclosure of QA records are controlled. (Para. 5.10)		

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¹ ORGANIZATION EVALUATED CRWMS M&O		² <input checked="" type="checkbox"/> EXTERNAL	³ <input checked="" type="checkbox"/> AUDIT	⁴	
⁵ DATES OF EVALUATION June 6-24, 1994		<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	PREPARED BY <u>John R. Matras</u> DATE <u>5/17/94</u> <i>Martin Horvath 5/31/94</i>	
⁶ CONTROLLING DOCUMENT (Title, Number, Revision) QAP-17-5, Rev. 1, <i>Indexing Quality Assurance Records</i>			⁷ ACTIVITY EVALUATED Element 17, <i>Quality Assurance Records</i>		
⁸ ITEM NO.	⁹ CHARACTERISTICS TO BE EVALUATED	¹⁰ REMARKS		¹¹ RESULTS	
1	Evaluate the process used to determine which QA Records are to be indexed. Verify there is a feedback loop from the QAP revision process to ensure inclusion for all QA records. (Para. 5)				

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2	Verify that QA Records are bound and secured, labeled during transport to the CRF and stored in 1-hour fire-rated containers/facilities while awaiting processing at the CRF. (Para. 5.1).		
3	Verify the adequacy of the process used to receive and review QA records at the CRF: a. Documents agree with transmittal b. Discrepancies resolved before processing (Para. 5.2)		

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4	Verify that QA records are indexed into the Mail/Append Database. (Para. 5.3)		
5	Verify that the database is reviewed against the original records before database is transferred to the Record Information System (RIS) (Para. 5.4)		

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6	Verify the adequacy of the process used to correct or supplement existing QA records. (Para. 5.5)		

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5 DATES OF EVALUATION June 6-24, 1994		6 <input type="checkbox"/> INTERNAL	7 <input type="checkbox"/> SURVEILLANCE		
8 CONTROLLING DOCUMENT (Title, Number, Revision) QAP-17-6, Rev. 1, P01, <i>Storage and Retrieval of Quality Assurance Records</i>			9 ACTIVITY EVALUATED Element 17, <i>Quality Assurance Records</i>		
10 ITEM NO.	11 CHARACTERISTICS TO BE EVALUATED	12 REMARKS		13 RESULTS	
1	Verify that storage of QA records meets the general requirements. a. adequate protection against damage (Para. 5.1.2) b. stored as appropriate (Para. 5.1.3) c. provisions for special records (Para. 5.1.4) d. provision to control unauthorized access (Para. 5.1.5) (Para. 5.1)				

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify that storage facility meets the design and construction requirements or the acceptable alternatives. (Para. 5.2)		
3	Verify that the filing system for QA records is in accordance with paragraph 5.3. (Para. 5.3)		

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4	Verify that the storage of microfilm and special records is in accordance with requirements. (Paras. 5.4, 5.5)		
5	Verify that the access to QA records is limited. a. list of names with authorized access (routinely updated for the CRF and permanent records storage facility) (Para. 5.6.1) b. list is posted (Para. 5.6.1) c. storage facility locked when not in use (Para. 5.6.1) d. removal of records is controlled (Paras. 5.6, 5.8)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify that QA Records are retrievable and a report is issued to OCRWM of the RIS retrieval activities. (Para. 5.7)		
7	Verify that microfilm quality is verified and logged every 2 years. (Para. 5.9)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8	Verify implementation of the classification and disposition of QA records. (Paras. 5.11, 5.12)		

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5 DATES OF EVALUATION June 6-24, 1994	[] INTERNAL	[] SURVEILLANCE	

6 CONTROLLING DOCUMENT (Title, Number, Revision) QAP-18-1, Rev. 2, P01 <i>Certification of Audit Personnel</i>	7 ACTIVITY EVALUATED Element 18, <i>Audits</i>
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8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS	11 RESULTS
1	Select a representative sample of persons designated as Lead Auditors and verify content and accuracy of Certification Record Forms (Attachment I). (Para. 5.2.1 - 5.4)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Select a representative sample of persons designated as Auditor or Technical Specialist and verify content and accuracy of Qualification Records (Attachment III). (Para. 5.5.1 - 5.6.6)		
3	Verify Lead Auditor maintenance of proficiency by one of the following: <ul style="list-style-type: none"> a. Regular and active participation in audit process. b. Review and study codes, standards and documentation. c. Participation in training program. (Para. 5.3.1a-c)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify Lead Auditors are evaluated annually by the QA manager and documented on certification form. (Para. 5.3.3)		
5	Verify Lead Auditors who fail to maintain their proficiency for a period of two or more years are re-qualified by retraining and examination and participate in at least one nuclear QA audit. (Para. 5.4)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify that lead auditors, from recognized sources possessing LA Certs to equivalent QARD requirements, are accepted in accordance with the identified requirements. (Para. 5.2.1a-f)		
7	Verify that QA records are submitted to the LRC in accordance with QAP-17-1. (Para. 6)		

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⁵ DATES OF EVALUATION June 6-24, 1994	⁶ CONTROLLING DOCUMENT (Title, Number, Revision) QAP-18-2, Rev. 2, P01 <i>Audits</i>			⁷ ACTIVITY EVALUATED Element 18, <i>Audits</i>
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1	Verify the audit schedule is prepared annually and reviewed quarterly by the QA Audits Manager. (Para. 5.2.4)			

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify that audits are performed as early in the life of work as practical and performance based audits are performed to supplement compliance audits (Paras. 5.2.1, 5.2.2) and that QARD criteria implemented by the M&O is audited at least once or on an annual basis or once during the life of the activity, whichever is shorter. (Para. 5.2.6)		
3	Verify that audit teams are designated by the QA Manager prior to beginning the audit (Para. 5.3.1) and team members are independent of activities being audited and were not selected by personnel having direct responsibility for the work performance. (Paras. 5.3.5, 5.3.6, 5.3.7)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify Technical Specialists have been indoctrinated and trained in the audit process described in QAP-18-1 prior to the performance of any audits. (Para. 5.3.8)		
5	Select a representative sample of audit reports and verify the following: <ul style="list-style-type: none"> a. Compliance to report format in Attachment I (Para. 5.6.1) b. Reports document post-audit conference/agreements (Para. 5.6.3) c. Conditions adverse to quality are documented on CARs (Para. 5.6.4) d. There is timely response to CARs (Para. 5.6.5) e. Report contains a statement of effectiveness (Para. 5.6.6) f. Report is issued within 30 calendar days of exit meeting (Para. 5.6.7) g. Report distribution (Para. 5.6.8) h. Audit log content, updating and maintenance (Paras. 5.6.9, 5.6.10, 5.4.8) 		

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6	<p>For the above selected audits, verify the following:</p> <ul style="list-style-type: none"> a. Development and content of audit plan (Paras. 5.4.3, 5.4.5) b. Audit plan approval prior to audit by QA Audits Manager (Para. 5.4.9) c. Audit Checklist and content (Para. 5.4.7) d. Report numbering system per Attachment II (Para. 5.4.8) e. Trained/certified auditing personnel (Para. 5.4.5) f. Verify audited organization was given written notification prior to audit (Para. 5.5.6) g. CARs tracked to resolution in accordance with QAP-16-1. (Paras. 5.7.1, 5.7.2) 		
7	<p>Verify that QA records have been submitted to the LRC in accordance with QAP-17-1. (Para. 6)</p>		

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5 DATES OF EVALUATION June 6-24, 1994		6 <input type="checkbox"/> INTERNAL	7 <input type="checkbox"/> SURVEILLANCE	PREPARED BY <u>John Matras</u> DATE <u>5/31/94</u> <i>Marlin Horosman 5/31/94</i>	
8 CONTROLLING DOCUMENT (Title, Number, Revision) QAP-19-1, Rev. 3, PCN-01, Rev. 1, <i>Computer Software Verification and Validation</i>			9 ACTIVITY EVALUATED Supplement 1, Computer Software Verification and Validation		
10 ITEM NO.	11 CHARACTERISTICS TO BE EVALUATED	12 REMARKS		13 RESULTS	
1	Identify the following individuals for each software project: a. Supervising Manager (Para. 5.1.1) b. Software Project Manager (Para. 5.1.3) c. V&V Manager (Para. 5.1.2) d. V&V Team Leader (Para. 5.1.2) e. V&V Team Members (Para. 5.1.3)				
2	Cross-reference the assignments with the following positions from QAP-19-4: a. Requesting Manager b. Developing Manager c. Software Developer (QAP-19-4, Paras. 5.1.2, 5.2.3.1)				

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3	Verify the adequacy of the process used to determine if acquired software was developed or modified in accordance with the QARD. (Para. 5.2.1)		
4	For "approved" acquired software (per QAP-19-4) verify that the V&V analyst has reviewed or conducted the verifications required. (Para. 5.2.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that for acquired software developed or modified in accordance with the QARD that the V&V Analyst has performed installation test. (Para. 5.2.3)		
6	<p>Review the V&V Plan for the elements required.</p> <ul style="list-style-type: none"> a. Type of software. b. Software objectives. c. V&V activities to be performed. d. Activity schedule. e. Inputs required from other organizations. f. Special tools and techniques to be used. g. V&V members assigned. h. Responsibilities assigned. i. Documents and reports to be delivered. <p>(Para. 5.3.2)</p>		

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7	Verify that for V&V activities not performed in parallel with the software development life-cycle activities that the V&V Plan has been justified. (Para. 5.3.2)		
8	Verify approval of V&V Plan by Location QA Manager and V&V Manager. (Para. 5.3.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9	<p>Verify that V&V verification checklists have been prepared and completed for the various life-cycle phases:</p> <ul style="list-style-type: none"> a. Functional requirements (Para. 5.6.2) b. Software requirements (Para. 5.7.2) c. Design verification (Para. 5.8.2) d. Code (Para. 5.9.2) e. User information (Para. 5.12.2) f. Validation test information (Para. 5.10) g. Software validation (Para. 5.11.3) h. Installation information (Para. 5.13.2) <p>(Para. 5.4)</p>		
10	<p>Verify that the Software Project Manager has provided inputs required for V&V activities to the V&V Team. (Para. 5.5.1)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
11	Verify turnover of documentation by V&V Team to the SCM organization after each V&V activity. (Paras. 5.6.4, 5.7.6, 5.8.6, 5.9.6, 5.11.7, 5.12.8, 5.13.8, 5.15.3)		
12	Verify that V&V reports for each life-cycle phase include items required. (Para. 5.15.1)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
13	Verify that final V&V reports are provided to SCM Manager. (Para. 5.15.3)		
14	Verify that QA records have been submitted to the LRC in accordance with QAP-17-1. (Para. 6.1)		

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5 DATES OF EVALUATION June 6-24, 1994				6 CONTROLLING DOCUMENT (Title, Number, Revision) QAP-19-2, Rev. 3, P01, <i>Software Configuration Management</i>	
8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS		11 RESULTS	
1	Verify that CSCI identifiers have been obtained from SCM by development organization. (Para. 5.2.1)				

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify that SCM Turnover of each CSCI from V&V includes requirements. (Para. 5.2.4A-F)		
3	Verify that SCM has completed a software configuration audit on each CSCI. (Para. 5.2.5A-D)		

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4	Verify that SCCB approval is obtained prior to use for work subject to QARD requirements. (Para. 5.2.9)		
5	Verify that baselined CSCIs are placed in the SCM Software library and entered into SCM status accounting system. (Paras. 5.2.10, 5.2.12)		

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6	Review any defects documented on Change Requests (CRs) for compliance with requirements. (Para. 5.5)		
7	Verify that for any defects identified in a CSCI that adversely impacts previous applications that a CAR was initiated in accordance with QAP-16-1. (Para. 5.5.2.4)		

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8	Verify implementation of media controls applied to the SCM Software Library. (Para. 5.6.2).		
9	Verify that QA records have been submitted to the LRC in accordance with QAP-17-1. (Para. 6)		

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QUALITY ASSURANCE CHECKLIST

1 ORGANIZATION EVALUATED CRWMS M&O		2 <input checked="" type="checkbox"/> EXTERNAL <input type="checkbox"/> INTERNAL	3 <input checked="" type="checkbox"/> AUDIT <input type="checkbox"/> SURVEILLANCE	4 PREPARED BY <u>John Matras</u> DATE <u>6/3/94</u> <i>Marlene Hinesman 6/7/94</i>	
5 DATES OF EVALUATION June 6-24, 1994				6 CONTROLLING DOCUMENT (Title, Number, Revision) QAP-19-4, Rev. 1, P03, <i>Software Management</i>	
8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS		11 RESULTS	
1	Identify software products subject to QAP-19-4 and whether they are treated as developed or acquired software. (Para. 5.1.1)				

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2	Verify the designation of acquired vs. developed is approved by: a. Requesting Manager (Para. 5.1.2A) b. Developing Manager (Para. 5.1.2B) (Para. 5.1.2)		
3	Verify that a lifecycle plan is developed for each software product (Para. 5.2) and approved by Location QA manager, the requesting manager, and the developing manager. (Para. 5.2.7)		

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4	Verify that the lifecycle plan identifies the milestones (lifecycle control points) and the documentation required at each (milestone deliverables). (Paras. 5.2G, 5.2H)		
5	Identify the lifecycle methodology (e.g., waterfall, spiral) described in the lifecycle plan. (Para. 5.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	For each phase selected for inclusion in the lifecycle plan, verify that documentation requirements meet the requirements of the corresponding paragraph of Subsection 5.2. (Para. 5.2)		
7	Verify that all phases of the lifecycle are addressed for developed software. (Paras. 5.6, 5.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8	Verify that acquired software is categorized as "approved" or "non-approved". (Paras. 5.5.1, 5.5.2)		
9	Verify that acquired software, if in the "approved" category is procured in accordance with QAP-4-1 and QAP-7-1. (Para. 5.5.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
10	Verify that acquired software, if in the "non-approved" category has undergone V&V activities. (Para. 5.5.5.1B)		
11	Identify the documentation allowing independent repetition of the use of software. (QARD, I.2.10.A)		

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12	Verify that the software has been approved and independently reviewed to ensure applicability to the problem being solved. (QARD, I.2.10.B)		
13	Verify that the validity and traceability of the assumptions and inputs to the software have been approved and independently reviewed. (QARD, I.2.10.B)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
14	Identify the validation method used if the use of a software item falls outside the range of validation and that the validation is performed prior to use. (QARD, I.2.10.C)		
15	Verify that all QA records have been submitted to the LRC in accordance with QAP-17-1. (Para. 6.1)		

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1 ORGANIZATION EVALUATED CRWMS M&O		2 <input checked="" type="checkbox"/> EXTERNAL	3 <input checked="" type="checkbox"/> AUDIT	4	
5 DATES OF EVALUATION June 6-24, 1994		6 <input type="checkbox"/> INTERNAL	7 <input type="checkbox"/> SURVEILLANCE	PREPARED BY <u>John Matras</u> DATE <u>5/31/94</u> <i>Martin Horasuum 5/31/94</i>	
8 CONTROLLING DOCUMENT (Title, Number, Revision) QAP-19-3, Rev. 2, <i>Model Validation</i>				9 ACTIVITY EVALUATED Supplement 1, Model Validation	
10 ITEM NO.	11 CHARACTERISTICS TO BE EVALUATED	12 REMARKS		13 RESULTS	
1	Verify the adequacy of the process used in determining that Model Validation is or is not required. (Paras. 5.1, 5.2.1)				
2	Identify the "Affected Office Manager" for any model validations performed. (Para. 5.2.1)				

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Explain the relationship/interface between the "Affected Office Manager" and individuals implementing QAPs 19-1, 19-2, and 19-4.		
4	Verify that Model Validation Plans include items and discussions required by paragraphs 5.3.1 and 5.3.2. (Paras. 5.3.1, 5.3.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that Model Validation Plans are developed in accordance with QAP-3-5 and either reviewed in accordance with QAP-3-1 or peer reviewed in accordance with QAP-3-3. (Paras. 5.3.3, 5.3.4)		
6	Verify that Model Validation Team members are qualified. (Para. 5.4.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	Verify that the model validation is performed on baselined software which has already undergone V&V in accordance with QAP-19-1. (Para. 5.5.3)		
8	Verify that the model validation report is developed in accordance with QAP-3-5 and is reviewed in accordance with QAP-3-1 or peer review in accordance with QAP-3-3. (Paras. 5.6.1, 5.6.4, 5.6.5)		

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

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DATES OF EVALUATION June 6-24, 1994		<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	
CONTROLLING DOCUMENT (Title, Number, Revision) Quality Assurance Requirements and Description, DOE/RW-0333P, Rev 0			ACTIVITY EVALUATED Supplement III, Scientific Investigation	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS		RESULTS
1	Determine through interviews that QAP-19-3, Model Validation, appropriately addresses the requirements of the QARD for the validation of models used in scientific investigation. (Supplement III.2.6)			

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⁵ DATES OF EVALUATION June 6-24, 1994		⁶ CONTROLLING DOCUMENT (Title, Number, Revision) QARD DOE/RW/0333P Appendix C, Rev. 0	
⁷ ACTIVITY EVALUATED Element 15, Nonconformances			
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS	RESULTS
1	Verify that the M&O initiates NCRs only when performing as a direct support contractor for OCRWM.		

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5 DATES OF EVALUATION June 6-24, 1994				6 CONTROLLING DOCUMENT (Title, Number, Revision) AP-1.18Q, R0, P01 Records Management: Las Vegas Records Source Responsibilities	
8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS		11 RESULTS	
1	Verify by random sample, that M&O documents identify records, i.e., specifications, procurement documents, task plans, procedures, etc. (Para. 5.0, Item 1, page 7)				

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	<p>Verify by review of objective evidence that Record Sources (individuals or organizations responsible for generating or receiving YMP records from outside entities) are:</p> <ol style="list-style-type: none">1. Trained to AP-1.18Q and2. Technically qualified before preparing or submitting YMP records to the LRC. <p>(Para. 5.0, Item 2, page 7)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	<p>Verify by review of Objective Evidence the following:</p> <ol style="list-style-type: none"> 1. Draft Requirements Documents marked "Draft" on first page (Appendix A, Item 1, pg. 13); 2. Privileged records are identified and labeled as such. (Appendix A, Item 4, Pg. 13); 3. Record packages include a table of contents that list the records, includes a page count, has been signed and dated, and table of contents has a records package identifier in the upper right-hand corner of the first page of the Table of Contents. (Appendix A, Items 9&10, page. 14); 4. WBS and configuration item identifiers (C) have been assigned and placed in the upper right-hand corner of the first page of individual records and as part of the identifier for record packages, and "QA" placed in the upper right-hand corner of the first page of individual QA records on the first page of Table of Contents. (Appendix A, Items 11 & 13, pg. 14) 		

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⁵ DATES OF EVALUATION June 6-24, 1994		<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	PREPARED BY <u>Robert L. Howard</u> DATE <u>5/24/94</u> <i>Martin Howard 5/24/94</i>	
⁶ CONTROLLING DOCUMENT (Title, Number, Revision) MGP-3-8, Rev. 0, P03, Revisions to Engineering Drawings Issued by Raytheon Services Nevada				⁷ ACTIVITY EVALUATED Element 3, Process for Revising Raytheon Drawings	
⁸ ITEM NO.	⁹ CHARACTERISTICS TO BE EVALUATED	¹⁰ REMARKS		¹¹ RESULTS	
1	Verify the RSN Title and Revision Block (see Attachment I) remains on the engineering drawings that were issued as part of ESF Package 1A. The first revision to a drawing shall be to show that the M&O is the A/E of record as of December 1, 1992. Changes to the technical content may be included with this revision. Verify RSN drawings are revised in accordance with QAP-3-10 with the exception of the actual signature blocks on the drawing. (Para. 5.1)				

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	For revisions to the RSN Drawings, verify the LDE or designee submits appropriate design inputs for inclusion in the RSN BFD in accordance with NLP-3-13. The design inputs shall be on a Drawings Design Inputs List as contained in QAP-3-10. For drawing revisions that do not involve the addition of new design inputs, a Drawings Design Inputs List shall be completed for the new drawing revision stating "No additional design inputs added for this revision." (Para. 5.3.7)		

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⁵ DATES OF EVALUATION June 6-24, 1994	⁶ CONTROLLING DOCUMENT (Title, Number, Revision) MGP-3-9, Rev. 0, P01 Revisions to Procurement & Design Specifications Issued by Raytheon Services NV			⁷ ACTIVITY EVALUATED Element 3, Process for Revising Raytheon Specifications
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS	RESULTS	
1	Verify the first revision to a specification shall be to show that the M&O is the A/E of record as of December 1, 1992. Changes to the content may be included with this revision. (Para. 5.1.1)			

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify that when the first revision to a specification is made, the RSN title sheet is replaced with an M&O Approval of Specification (Attachment I) and Revision Description (Attachment IV, QAP-3-8). The Office Manager shall review the specification revision for assurance that the Table of Contents has been revised and the specification sections have been approved by the appropriate Department Manager. (Para. 5.1.2)		

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3	<p>Verify that when the first revision to a specification section is made, the RSN Section Cover Sheet is replaced with an M&O Certificate of Specification (Attachment V, QAP-3-8). Directly behind the certification page, a Revision Description (Attachment IV, QAP-3-8) shall be inserted. Subsequent revisions to specification sections shall be done in accordance with QAP-3-8.</p> <p>Evaluate the process used to ensure that revisions to RSN Specifications are updated in the RSN BFD. (Para. 5.1.3)</p>		

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DATES OF EVALUATION June 6-24, 1994			

CONTROLLING DOCUMENT (Title, Number, Revision) Review and Approval of Submittals, MGP-7-1, Rev 0, P01	ACTIVITY EVALUATED Element 7, Control of Purchased Items and Services
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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS	RESULTS
1	Verify that submittals are received with the SDT form, YMP-080, from the contractor as described in AP-5.26 and that Engineering Document Control logs receipt on the Supplier Drawing Report tracking system. (Paras. 5.1.1, 5.1.2)		

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2	Verify that the ESF EDC Coordinator initiates the "Supplier Document Evaluation Record" form including completion of the document and supplier identification portions of the form. (Para. 5.2.1)		
3	Verify that the responsible engineer or designated cognizant engineer completes the evaluation criteria on the Supplier Document Evaluation Record, and that the evaluation criteria is specified by the responsible engineer to assure technical compliance of the submitted documents with Title II design requirements. Also verify that the evaluation criteria states the specific requirement being evaluated and the referenced specification or drawing. (Para. 5.2.2)		

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4	Verify that the responsible engineer completes a summary of the evaluation results on the Supplier Document Evaluation Record and the summary includes the definition and documentation of technical noncompliances, if any referencing the governing technical requirement. (Para. 5.2.3)		
5	Verify that the ESF EDC Coordinator returns the original documents and other submittals to the contractor with a copy of the Supplier Document Evaluation Record if action code C is specified by the reviewer. (Para. 5.3.1)		

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6	Verify that documents are packaged as required for DCC and a record package has been submitted to the LRC. (Sections 5.4, 6)		

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⁵ DATES OF EVALUATION June 6-24, 1994	² <input type="checkbox"/> INTERNAL	³ <input type="checkbox"/> SURVEILLANCE		
⁶ CONTROLLING DOCUMENT (Title, Number, Revision) Control of Nonconforming Items, MGP-15-1, Rev. 0			⁷ ACTIVITY EVALUATED Element 15, Nonconformances	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS	RESULTS	
Notes	<p>A. Determine if this scope of work is performed as a CRWMS Participant (to the M&O QA Program) or as a Direct Support Contractor (to the OCRWM QA Program). If as a Direct Support Contractor, this checklist will be completed during the Audit of YMSCO.</p> <p>B. Procedure references YMP-AP-3.5Q, AP-5.27Q, and DOE/RW-0214. Determine why this procedure has not been updated to DOE/RW-0333P.</p>			
1	<p>Verify that the Performing Organization Manager(s):</p> <p>a. control nonconforming items to prevent their inadvertent use. (Para. 4.2.2)</p>			

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2	Verify NCRs are documented on Attachment I, described in sufficient detail, and forwarded to M&O QA. (Para. 5.1.1)		
3	Verify M&O QA evaluates NCR for validity, completeness, correctness, and determination of significance; and if significant, issues a separate CAR. (Para. 5.1.2, 4.3.2)		

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4	Verify that when NCRs are found to be invalid, the reason is noted on the NCR and a copy is returned to the originator. (Para. 5.1.3)		
5	Verify that valid NCRs are assigned a number (year & sequential #) by QA from the NCR Log (Attach, II) and forwarded to the MGDS Dept. Manager for disposition and information copies sent to Site Manager, Division Director, and Field Operations QA. (Para.5.1.4)		

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6	Verify that the QAR applies a hold tag (Att. III), or otherwise identifies item to prevent further processing, installation, or use; identification shall not be adversely affected. (Para. 5.1.5)		
7	Verify that partially affected items are be identified, justification for continued work or installation shall be approved by the dispositioning authority and used only for short-term emergency condition where personnel safety is involved. (Para. 5.1.6)		

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8	Verify that the applicable M&O dept. manager assigns a qualified individual to evaluate NCRs for quality affecting, and required corrective action, considering disposition guidance of ATT. IV. Corrective action shall include a specific recommended disposition. (Para. 5.2.1)		
9	Verify that Repair & use-as-is dispositions are only used where there is little impact and do not require a Field Change Request (FCR). (Para. 5.2.2)		

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10	Verify that NCRs which do not require a FCR are forwarded to the performing organization for implementation. (Para. 5.2.4)		
11	Verify that the MGDS department manager approves acceptable dispositions, or obtains resolution of unacceptable dispositions. (Para. 5.2.5)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS <i>Record objective evidence reviewed, method of verification, personnel contacted</i>	RESULTS
12	Verify the department manager returns approved dispositioned NCRs to the performing organization and a copy of the NCR to QA for status tracking. (Para. 5.2.6)		
13	Verify that the M&O QA records the disposition date of the NCR in the log and retains a copy until all required NRC actions have been accomplished and the completed NRC returned. (Para. 5.2.7)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
14	Verify that completed required actions are documented by the responsible organization on the NCR, signed and dated by a responsible supervisor, and returned to the M&O specifying organization. (Paras. 5.3.2, 4.2.3)		
15	Verify that QA verifies the NCR specified corrective action disposition. (Paras. 4.3.4, 5.4.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
16	Verify that after QA verification, NCR form block 8 is signed and dated by the performing organization and QA, and hold tags are removed. (Paras. 4.3.5, 5.4.3)		
17	Verify QA closes log on NCR and assembles completed NCR records. (Paras. 4.3.5, 5.4.4).		
18	Verify that NCR reports and supporting documentation generated are collected and maintained in accordance with QAP-17-1. (Para. 6.)		

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¹ ORGANIZATION EVALUATED CRWMS M&O		² <input checked="" type="checkbox"/> EXTERNAL	³ <input checked="" type="checkbox"/> AUDIT	⁴	
⁵ DATES OF EVALUATION June 6-24, 1994		<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	PREPARED BY <u>R. G. Peck</u> DATE <u>5/23/94</u> <i>Marlin Horvath 5/31/94</i>	
⁶ CONTROLLING DOCUMENT (Title, Number, Revision) Determination of Importance Evaluations, NLP-2-0, Rev. 0				⁷ ACTIVITY EVALUATED Element 3, <i>Design Control</i>	
⁸ ITEM NO.	⁹ CHARACTERISTICS TO BE EVALUATED	¹⁰ REMARKS		¹¹ RESULTS	
1	Verify that upon identification of the need for a Determination of Importance Evaluation (DIE), the DIE Manager implements a request for design or test information as needed from the responsible organization and assigns an Analyst to perform the analysis. Confirm the process. (Para. 5.1.1)				
2	Verify the process for Determination of Importance Evaluations (DIE) utilizing QAP-3-9, the appropriate supporting analyses, and Attachment I of NLP-2-0. (Para. 5.1.4)				

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify that Waste Isolation Evaluations (WIEs) and Test Interface Evaluations (TIEs) were properly developed and transmitted as design inputs. (Para. 5.1.4E)		
4	Verify that based on the completed DIE, the analyst prepared an amended Attachment II to reflect any limits or constraints on the use of TFMs. (Para. 5.1.5)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that when specifications for procurement of temporary items are reviewed for applicability of QA controls by the DIE organization in advance of design completion, (i.e., "advance procurement"); documentation of this review is in accordance with Attachment IV of NLP-2-0. (Para. 5.1.8)		
6	Verify how the DIE M&O organization processes "preliminary design information." (Para. 6.4)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	Verify the processing of DIES and associated documentation to the LRC as QA Records. (Para. 6.1)		
8	Verify that NLP-2-0 meets the requirements of QAP-2-0, QAP-2-3 and QAP-3-9.		

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1 ORGANIZATION EVALUATED CRWMS M&O		2 [x] EXTERNAL	3 [x] AUDIT	4 PREPARED BY <u>Walter R. Coutier</u> DATE <u>5/20/94</u> <i>Marlini Horstman 5/31/94</i>	
5 DATES OF EVALUATION June 6-24, 1994		[] INTERNAL	[] SURVEILLANCE		
6 CONTROLLING DOCUMENT (Title, Number, Revision) NLP-2-3, Rev. 0 Title III Overview Surveillance			7 ACTIVITY EVALUATED Element 2, Surveillance		
8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS		11 RESULTS	
1	Verify personnel performing surveillances are trained to NLP-2-3, knowledgeable and not directly responsible for activities under surveillance (Para. 5.1.1)				

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify that prior to performing surveillance, Attachment I is completed by M&O QA Field Personnel. (Para 5.1.2)		
3	Verify that unless otherwise stated on Attachment I, surveillances are conducted using a representative sample technique. (Para. 5.2)		
4	Verify surveillance requirements are based on established design criteria, applicable codes, standards, drawings, procedures, and specifications as stated on Attachment I. (Para. 5.2.1)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify surveillances are based on work activity and acceptance criteria. (Para. 5.2.2)		
6	Verify documentation of adverse conditions. (Para. 5.2.3)		
7	Verify escalation/resolution process for unresolved adverse conditions. (Para. 5.2.4)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8	Verify surveillances are documented on Attachment I. (Paras. 5.2.5-5.2.9)		
9	Verify documents generated are collected, processed and maintained in accordance with AP 1.18Q. (Para. 6.0)		

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⁵ DATES OF EVALUATION June 6-24, 1994	<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE		
⁶ CONTROLLING DOCUMENT (Title, Number, Revision) NLP-3-10, Rev. 1, (3/23/94) Preparation of Field Change Request Against Engineering Drawings & Specifications			⁷ ACTIVITY EVALUATED Element 3, Process for Change Requests Against Drawings & Specifications	
⁸ ITEM NO.	⁹ CHARACTERISTICS TO BE EVALUATED	¹⁰ REMARKS	¹¹ RESULTS	
1	NOTE: This procedure is used in conjunction with Yucca Mountain Site Characterization Office (YMSCO) Administrative Procedure (AP) AP-3.5Q, R3/1 Field Change Control Process. As of 5/18/94 plans are being finalized to replace AP 3.5Q with YAP 3.4Q and replace NLP-3-10 with NLP-3-21. By the 6/20 portion of this audit the new procedures should be in effect. Determine the method used by the FCR preparer to determine how many FCRs are already issued against a drawing/specification (Para. 5.1.3)			

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	<p>Determine how many FCRs have been processed since 3/23/94 (effectivity date of NLP-3-10, R1), and review a representative sample of FCR Record Packages for compliance to NLP-3-10.</p> <ul style="list-style-type: none"> a. Completion of Section I of FCR form (AP 3.5Q, Exhibit AP-3.5.1). (Para. 5.4.1) b. Completion of Attachment I of NLP-3-10. (Para. 5.2.1) c. Completion of Exhibit AP-3.5Q.2 of AP-3.5Q. (Para. 5.2.1) d. Checker independent of design being processed. (Para. 5.2.2) e. Quality Engineering Manager concurs with specification change. (Para. 5.3.1) 		
3	<p>Determine if the IOC Evaluation (Attachment I of NLP-3-10) is included in completed FCR packages that have been transmitted to the LRC. (Para. 6)</p>		

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DATES OF EVALUATION June 6-24, 1994	<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE		
CONTROLLING DOCUMENT (Title, Number, Revision) Revisions to Basis for Design Document Issued by Raytheon Services Nevada. NLP-3-13. Rev 0. P01. P02. P03			ACTIVITY EVALUATED Element 3, Design Control	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS	RESULTS	
1	Determine through interviews how a decision is reached regarding the applicability of procedures between NLP-3-13 and NLP-3-20 and the rationale for the different review processes described in the two procedures. Also, determine how QA is involved in the review process described in NLP-3-20. (Sections 1,2 and QARD Section 2.2.9)			

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify that the Lead Document Preparer identifies changes to the BFD and prepares a mark-up of the BFD page(s) or other appropriate documentation, a CRWMS M&O Title Sheet, and Revision Description Form and initiates review in accordance with QAP-3-1. (Para. 5.1.1)		
3	Verify that BFD changes are noted by a vertical line in the margin, the same revision number is used for all changes made in each revision, the revision number and date of revision is placed on each affected page, and a Revision Description Form is used to indicate the pages that were revised and reasons for revision. (Para. 5.1.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify that the MGDS Manager, Quality Assurance Manager, and Technical Project Officer review the BFD revision and sign and date the CRWMS M&O Title Sheet indicating approval. (Paras. 5.1.4, 5.1.5, 5.1.6)		
5	Verify that the Lead Document Preparer submits the approved BFD revision for baselining in accordance with QAP-3-4. (Para. 5.1.7)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify that the Drawings Design Inputs Lists are placed in an appendix to the RSN BFD, the appendix contains a table of contents listing of the Drawings Design Inputs Lists and references the applicable BFD section, and the Lead Document Preparer revises the RSN BFD to include design inputs contained on the Drawings Design Inputs Lists, as appropriate. (Paras. 5.1.8, 5.1.9)		
7	Verify that records generated by the procedure are submitted to the LRC in accordance with QAP-17-1. (Section 6)		

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⁶ CONTROLLING DOCUMENT (Title, Number, Revision) NLP-3-14, Rev. 0, PCNs P01 P02, Discipline & Inter-Discipline Checking of Engineering Drawings & Specifications	⁷ ACTIVITY EVALUATED Element 3, Checking of Drawings & Specifications
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ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS	RESULTS
1	<p><u>Discipline Checking of Drawings and Specifications</u></p> <p>Obtain a representative sample of <u>drawing</u> CHECK PRINTs and verify the process described in NLP-3-14, Paragraph 5.1 is being followed.</p> <p>a. All criteria on Drawing Checklist (Attachment II of NLP-3-14) is being initialed or marked "N/A". (Para. 5.1.4.A)</p> <p>b. Corrections are marked in red, deletions marked in blue, and correct items marked in yellow. (Para. 5.1.4.B)</p> <p>c. Checker signs and dates next to "check print" stamp. (Para. 5.1.4.C)</p> <p>d. Reasons for not making changes or corrections are documented in black and circled. (Para. 5.1.5.C)</p> <p>e. Comments incorporated are circled in green. (Para. 5.1.6.B)</p> <p>f. Backcheck completion is indicated by Checker initials next to original signature. (Para. 5.1.7.B)</p>		

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2	<p>Obtain a representative sample of specification CHECK PRINTS and verify the process described in NLP-3-14, Paragraph 5.1 is being followed.</p> <ul style="list-style-type: none"> a. All criteria on Specification Checklist (Attachment III of NLP-3-14) is being initialed or marked "N/A". (Para. 5.1.4.A) b. Corrections are marked in red, deletions marked in blue, and correct items marked in yellow. (Para. 5.1.4.B) c. Checker signs and dates next to "check print" stamp. (Para. 5.1.4.C) d. Reasons for not making changes or corrections are documented in black and circled. (Para. 5.1.5.C) e. Comments incorporated are circled in green. (Para. 5.1.6.B) f. Backcheck completion is indicated by Checker initials next to original signature. (Para. 5.1.7.B) 		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	<p><u>Inter-Discipline Review of Drawings or Specifications</u></p> <p>Obtain a representative sample of <u>drawing</u> INTER-DISCIPLINE REVIEW records and verify the process described in NLP-3-14, Paragraph 5.2 is being followed.</p> <p>a. Review document stamped the "Inter-discipline Group Review " stamp. (Para. 5.2.1)</p> <p>b. Mandatory changes or additions are marked in red. (Para. 5.2.5.B.1)</p> <p>c. Mandatory deletions are marked in blue. (Para. 5.2.5.B.2)</p> <p>d. Non-mandatory comments are marked in black or pencil. (Para. 5.2.5.B.3)</p> <p>e. Comment resolutions are marked in black or pencil and reviewer initialed and dated concurrence. (Para. 5.2.9.C)</p> <p>f. Corrections are circled in green on original (original inter-discipline group review copy?). (Para. 5.2.10.B)</p> <p>g. Back check is marked in orange adjacent to each green circle. (Para. 5.2.11.B)</p> <p>h. LDE signs and dates marked-up document above title block. (Para. 5.2.11.C)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	<p>Obtain a representative sample of <u>specification</u> INTER-DISCIPLINE REVIEW records and verify the process described in NLP-3-14, Paragraph 5.2 is being followed.</p> <ul style="list-style-type: none"> a. Review document stamped the "Inter-discipline Group Review " stamp. (Para. 5.2.1) b. Mandatory changes or additions are marked in red. (Para. 5.2.5.B.1) c. Mandatory deletions are marked in blue. (Para. 5.2.5.B.2) d. Non-mandatory comments are marked in black or pencil. (Para. 5.2.5.B.3) e. Comment resolutions are marked in black or pencil and reviewer initialed and dated concurrence. (Para. 5.2.9.C) f. Corrections are circled in green on original (original inter-discipline group review copy?). (Para. 5.2.10.B) g. Back check is marked in orange adjacent to each green circle. (Para. 5.2.11.B) h. LDE signs and dates marked-up document above title block. (Para. 5.2.11.C) 		

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

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⁵ DATES OF EVALUATION June 6-24, 1994	⁶ CONTROLLING DOCUMENT (Title, Number, Revision) NLP-3-15, R01, P03, To Be Verified (TBV) and To be Determined (TBD) Monitoring System			⁷ ACTIVITY EVALUATED Element 3, Process for Monitoring TBVs and TBDs
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS	RESULTS	
1	Determine if any TBV/TBD have been identified. Determine how TBV/TBDs are identified. (Para. 5.2.2A)			
2	Verify that the Systems Engineering Manager has assigned a coordinator. (Para. 5.1.1)			

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Verify that a TBV/TBD Description Form has been completed and approved by an assigned originator. (Para. 5.2.2)		
4	Verify that the originator identifies and documents work to be held until release of the TBV/TBD (TBV/TBD Description Form, Block 7). Evaluate the adequacy of the methodology used to make this determination.		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Verify that the TBV/TBD Coordinator assigns an identifier and enters information into the Monitoring System. (Para. 5.2.3)		
6	Verify that a TBV/TBR status report is issued monthly and distributed. (Para. 5.2.3C)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	Determine if any TBV/TBDs have been identified for release. Determine how TBV/TBDs are justified for release. (General)		
8	Determine how the release justification is documented and how the release information is communicated. (General)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9	Verify that an assigned Release Coordinator has signed and obtained release approvals on the TBV/TBD Description Form. (Para. 5.3.2A, B)		
10	Verify that the Coordinator updates the TBV/TBD Monitoring System upon receipt of a copy of the TBV/TBD Description Form. (Para. 5.3.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
11	Verify that a released RSN identified TBV/TBD has "Originated by RSN" on the TBV/TBD Description Form. (Para. 5.4.1)		
12	Verify that "voided" TBV/TBR Description Forms are justified and documented. (General)		
13	Verify that the completed TBV/TBD Description Form is submitted to the LRC in accordance with QAP-17-1. (Para. 5.3.2D)		

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AUDIT/SURVEILLANCE
NO. HQ-94-02

QUALITY ASSURANCE CHECKLIST

¹ ORGANIZATION EVALUATED CRVMS M&O	² <input checked="" type="checkbox"/> EXTERNAL <input type="checkbox"/> INTERNAL	³ <input checked="" type="checkbox"/> AUDIT <input type="checkbox"/> SURVEILLANCE	⁴ PREPARED BY <u>R.G. Peck</u> DATE <u>6/1/94</u> <i>Marlin Horesman 6/1/94</i>	
⁵ DATES OF EVALUATION June 6-24, 1994	⁶ CONTROLLING DOCUMENT (Title, Number, Revision) NLP-3-16, Rev. 0, PCN 2, Development of Test Interference Evaluations			⁷ ACTIVITY EVALUATED Element 3, Design Control
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS	RESULTS	
1	Verify that: a. The SC Manager identified an independent TIDBITS Reviewer(s) to review each quarterly revision of TIDBITS. b. The TIDBITS Reviewer(s) reviewed TIDBITS to ensure that all the information presented in (Attachment III) TIDBITS Checklist, is addressed by TIDBITS and that a page indicating the overview parameters for all TIEs is included. c. The TIDBITS Reviewer(s) documented the results of the review on the Review Checklist, Attachment II, and signed and dated the document and the title page of TIDBITS. (Para. 5.6.3, PCN 2)			

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2	<p>Verify that the format of TIEs, as a minimum, address the items shown on the Information Checklist and include the following:</p> <p>a. A title page indicating the complete title of the TIE, the applicable quality assurance (QA) classification of the TIE, a document identifier number developed in accordance with QAP-313, <i>Assignment of Document Identifiers</i>, and signatures and dates by the TIE Preparer(s), TIE Reviewer(s), and the SC Manager.</p> <p>b. A list of references used in developing the TIE.</p> <p>c. A presentation of all information applicable to the subject matter of the TIE including text, tables and figures as appropriate.</p> <p>Note: If an item on the Information Checklist is not applicable to a given TIE, "N/A" may be indicated for that item.</p> <p>(Para. 5.1.2)</p>		

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3	Verify the process for TIE review/resolution of comments and the approval of the TIE. (Paras. 5.2.2, 5.3)		
4	Verify the process by which the SC Manager examines the TIE to determine that it conforms to requirements, that applicable QA procedures were followed in its development, and that the programmatic positions and recommended controls are appropriate. (Para. 5.3.1)		

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5	Verify that the TIE Preparer(s) properly transmitted TIE documents that became design inputs for the Determination of Importance Evaluation (DIE) group in accordance with QAP-3-12. (Para. 5.5.1)		
6	Verify that the TIDBITS Manager(s) properly revised TIDBITS quarterly using TIEs completed during the previous three months and other available new information. (Para. 5.6.2)		

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7	<p>Verify the process by which the SC Manager:</p> <ul style="list-style-type: none"> a. examines each revision of TIDBITS to determine that it conforms to requirements and that applicable QA procedures were followed in its development; and b. signs and dates the title page of TIDBITS, indicating approval. (Para. 5.6.4) 		
8	<p>Verify that all revisions to approved TIEs were prepared, reviewed, approved and transmitted in accordance with NLP-3-16. (Para. 5.7.2)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9	Verify that documents generated as a result of NLP-3-16 were collected, maintained and submitted to the Local Records Center as QA records in accordance with QAP-17-1, <i>Program Records Management</i> . (Para. 6)		

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⁵ DATES OF EVALUATION June 6-24, 1994	⁶ CONTROLLING DOCUMENT (Title, Number, Revision) NLP-3-17, Rev. 0, Development of Waste Isolation Evaluations			⁷ ACTIVITY EVALUATED Element 3, Waste Isolation Evaluations
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS	RESULTS	
1	<p>Verify the site characterization activity has been categorized by the WIE Preparer according to the following system:</p> <ol style="list-style-type: none"> 1. A site characterization activity that is limited in scope and/or quantity, or is physically remote such that no reasonable scenario would show any effect on the waste isolation performance of the conceptual repository or potential expansion areas. 2. A site characterization activity potentially significant with respect to waste isolation performance at the conceptual repository/expansion areas that can be addressed by reference to existing WIEs. 3. A site characterization activity potentially significant with respect to waste isolation performance at the conceptual repository/expansion areas that does not have an applicable WIE precedent. (Para. 5.1, 5.1.1, 5.1.2, 5.1.3) 			

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	For Category I site characterization activities, verify the WIE has been prepared as a letter or internal memorandum, as applicable, from the Department Manager stating the reasons for the category selected. Verify the WIE indicates the QA classification; and is signed concurrence from the Systems Manager. (Para. 5.2)		
3	For Category II site characterization activities, verify WIE is prepared as an abbreviated report. The report shall document the reasons for the category selected and give the appropriate references to existing WIEs. The WIE conforms to the format and signature specifications for the cover and title pages as indicated in Section 5.4.2.1A and B. (Para. 5.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify a WIE Preparation Plan has been developed by the WIE Preparer as indicated in this procedure unless specified otherwise in writing by the Systems Manager. NOTE: Deficiency document in CAR YM-94-013. (Para. 5.4.1.1)		
5	Verify the WIE Preparation Plan addresses the following: a. Objectives and scope. b. Format and content guidelines. c. Review method. (Para 5.4.1.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify the PA Department Manager and Systems Manager reviews and approves the WIE Preparation Plan. (Para. 5.4.1.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	<p>Verify the WIE is prepared in accordance with this procedure and the WIE Preparation Plan, if applicable. As a minimum, the WIE shall include the following:</p> <ul style="list-style-type: none"> a. A cover page indicating the complete title, document number, author, and date. b. A title page indicating the complete title of the WIE, the appropriate document identifier according the QAP-3-13, Document Identifiers; applicable QA classification; and signatures and dates for preparation, review and approval of the WIE. c. The specific objective(s) and scope of the WIE. d. A statement of the evaluation or analysis method employed and the applicable assumptions. e. A separate section listing the assumptions and the data that are considered critical to the conclusions and recommendations of the WIE. f. Identification of sources of information, data, equations, computer programs, and computer type. g. Disposition of data and computer codes with respect to QA requirements. h. A complete presentation of any calculations such that anyone appropriately qualified could review the calculation without recourse to the originator. 		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7 cont	<ul style="list-style-type: none"> i. A list of references used to develop the WIE. Personal communications shall be documented using Attachment I, and included as an attachment to the WIE when submitted to the LRC. (See Section 6). j. A presentation of all information applicable to the subject matter of the WIE. k. A summary, including major conclusions, recommendations, and requirements. (Para. 5.4.2.1) 		
8	<p>The WIE is reviewed by qualified individuals other than the preparer or approver. Individuals reviewing WIEs shall not have:</p> <ul style="list-style-type: none"> a. Immediate supervisory responsibility for the individual preparing the WIE. b. Specified a single evaluation approach or method of analysis. (Para. 5.4.3.1) 		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9	<p>Verify that one of the following methods is used to review WIEs:</p> <ul style="list-style-type: none"> a. WIEs that are narrow in scope and concern items that are not considered critical may be reviewed, at the discretion of the PA Department Manger, using the WIE review procedure given in Section 5.4.3.3 and any other items for review identified in the WIE Preparation Plan. The signature of the WIE reviewer(s) on the cover page of the WIE, as required in Section 5.4.2.1B, shall document approval of the reviewer(s). b. An External Review shall be performed, if required by the PA Department Manager, for WIEs that concern a critical item or a sufficiently broad in scope such that group of items may be affected by the analysis. External Reviews of WIEs shall be conducted in accordance with QAP-3-1, <i>Technical Document Review</i>. (Para. 5.4.3.2) 		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
10	<p>Verify WIE reviews address the following questions:</p> <ul style="list-style-type: none"> a. Are the assumptions used adequately described and justified? b. Are the input data qualified for use in quality-affecting work? If not, are the best available input data used? c. Are the input data referenced and consistent with the referenced data sources and the WIE Preparation Plan? d. If possible, are the input data traceable to the original data sources? e. Are the technical analyses or evaluation methods reasonable with respect to the available input, stated conclusions, and recommendations? f. Are calculations presented such that the calculation can be repeated without recourse to the originator? g. Are the conclusions or recommendations consistent with previous similar analyses? If not, are reasons for the differences satisfactorily explained? (Para. 5.4.3.3) 		

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11	<p>Determine if periodic review of existing WIEs have been performed. These reviews shall determine if previous WIEs require revision or if recommendations for remedial action are required in light of new data or a new understanding of natural process at the site. The reviews shall consider all the critical assumptions and input data presented in each WIE as described in Section 5.4.2.1E. The schedule for performing these reviews may be tied to a major site characterization milestones or any major changes in understanding of site characterization or natural processes. (Para. 5.4.5.2)</p>		

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1 ORGANIZATION EVALUATED CRWMS M&O		2 <input checked="" type="checkbox"/> EXTERNAL	3 <input checked="" type="checkbox"/> AUDIT	4 PREPARED BY <u>Robert L. Howard</u> DATE <u>6/1/94</u> <i>Markin Howard</i> <u>6/1/94</u>	
5 DATES OF EVALUATION June 6-24, 1994		<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE		
6 CONTROLLING DOCUMENT (Title, Number, Revision) NLP-3-17, Rev. 1, Waste Isolation Evaluations			7 ACTIVITY EVALUATED Element 3, Waste Isolation Evaluations		
8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS		11 RESULTS	
1	Verify Category I WIEs are prepared by a WIE Preparer on a Design Input Data Transmittal form in accordance with QAP-3-12, <i>External Transmission of Design Input Data</i> . (Para. 5.2.1)				

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify on the Design Input Data Transmittal form, that the QA designation of the WIE as QA. Verify that the reason for designating the WIE as Category I is documented. (Para. 5.2.2)		
3	Verify relevant information shall be referenced or included as attachments; the Verbal Communication Record form of Attachment II shall be used to document any relevant verbal communications. (Para. 5.2.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify Category II WIEs are documented as an abbreviated report. (Para. 5.3.1)		
5	Verify that the title page conforms to the format given for the WIE Preparation Plan in Attachment III of NLP-3-17, Revision 1. (Para. 5.3.2)		

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6	Verify that the WIE documents the reason for the WIE category selected and give the appropriate references to existing WIEs, at least one of which shall be a Category III WIE. (Para. 5.3.3)		
7	Verify that the Category II evaluation conforms either to (A) the guidelines specified by the WIE Preparation Plan in Attachment III and the Checklists in Attachment IV or (B) the applicable Technical Document Preparation Plan(s) (TDPP) (See Sections 5.4.1 and 5.4.2) of the referenced Category III WIE(s). (Para. 5.3.4)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8	Verify Category III WIEs are prepared in accordance with the WIE Preparation Plan in Attachment III and the Checklist in Attachment IV, unless specified otherwise in Interoffice Correspondence (IOC) form, the PA Department Manager to the WIE Manager. (Para. 5.4.1)		
9	If the Waste Isolation Preparation Plan in Attachment III is not followed, verify the WIE is performed in accordance with a TDPP. A TDPP shall be developed in accordance with QAP-3-5, <i>Development of Technical Documents</i> , and designated as a quality-affecting document in accordance with QAP-2-0, <i>Work Control</i> . A TDPP shall be guided by the general guidelines and the content and format guidelines for the WIE Preparation Plan in Attachment III and by the Checklist in Attachment IV. (Para. 5.4.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
10	Determine the adequacy of the following statement: Because a Category I WIE is documented on a Design Input Data Transmittal form (with attachments as needed), which is signed by the P.A. Department Manager, no formal review is required. (Para. 5.5.1)		
11	<p>Verify one of the following methods is used to review WIEs:</p> <p>a. If directed by the PA Department Manager, an external review shall be performed for a WIE which evaluates critical activities, items, and facilities or that is sufficiently broad in scope such that a group of activities, items and facilities is covered by the WIE. The external review of a WIE shall be conducted in accordance with QAP-3-1, <i>Technical Document Review</i>. The directive and reasons for the external review shall be documented in an IOC from the PA Department Manager to the WIE Manager.</p> <p>b. Unless directed in an IOC per 5.5.4.A above, a WIE shall be reviewed using the criteria given in Section 5.5.5 and considering the requirements and guidelines identified in the WIE Preparation Plan or applicable TDPP. This review method shall apply to a WIE that is narrow in scope and that evaluates activities, items and facilities that are not considered critical. (Para. 5.5.4)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
12	<p>Verify the WIE review adds the following questions:</p> <ul style="list-style-type: none"> a. Are the assumptions used adequately described and justified? b. Are the input data qualified for used in quality-affecting work? If not, are the best available input data used? c. Are the input data referenced and consistent with the referenced data sources and the WIE Preparation Plan or applicable TDPP? d. If possible, are the input data traceable to the original sources? e. Are the technical analyses or evaluation methods reasonable with respect to the available input, stated conclusions and recommendations? f. Are calculations by any method (i.e., by hand, calculator or computer) presented in sufficient detail that they can be reviewed and repeated without recourse to the originator(s)? Does this include the computer program, input and output (as listings, microfiche, on electronic media, or other readily usable form) as part of the WIE record package if someone other than the WIE Preparer(s) could not repeat the calculations without developing a new computer program? g. Are the conclusions and recommendations consistent with previous similar analyses? If not, are reasons for the differences satisfactorily explained? <p>(Para. 5.5.5)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
13	Verify the PA Department Manager transmits the final WIE to the DI Department Manager in accordance with QAP-3-12, <i>External Transmissions of Design Input Data</i> . (Para. 5.7.1)		
14	After acknowledgement of receipt of the WIE by the DI Department Manager on the QAP-3-12 transmittal form, verify the WIE Preparer(s) shall forward the final WIE including the QAP-3-12 transmittal form and any other applicable documents listed in Section 6 to the LRC in accordance with QAP-17-1, <i>Records Source Responsibilities for QA Records</i> . (Para. 5.7.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
15	<p>Determine how the following statement affects NCRs:</p> <p>It is not necessary to revise a WIE because the actual activities and as-built items and facilities, including TFM use and composition, are different from the evaluated planned activities, items and facilities, including TFM use and composition, if it is too late to avoid, limit or mitigate adverse effects on waste isolation. (Para. 5.8.3)</p>		
16	<p>Determine if any periodic reviews in accordance with Section 5.9 of NLP-3-17, Revision 1, have been conducted. (Para. 5.9)</p>		

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17	Determine if the rationale in Section 5.5.4A is consistent with Section 6.1 and Section 17 of the QARD. (Para. 6.1)		
18	Determine if TDPPs are appropriately classified as nonpermanent records. (Para. 6.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
19	Determine the adequacy of Attachment I of NLP-3-17, Revision 1 for use in the development of WIEs. Determine what controls are placed on computer codes used for WIE preparation. (See Attachment III, Section I). (Section 7, Attachments)		

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⁵ DATES OF EVALUATION June 6-24, 1994	<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE		
⁶ CONTROLLING DOCUMENT (Title, Number, Revision) NLP-3-18, Rev. 1, P01, Documentation of QA Classification/Controls on Drawings and Specifications			⁷ ACTIVITY EVALUATED Element 3, Process for Documenting Classification on Drawings & Specifications	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS	RESULTS	
1	Verify that the Responsible Engineer incorporates QA classification/control information, into each drawing and specification which contains the item(s) or activities evaluated in the DIE. (Para. 5.1.2)			

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	<p>In the "QA Classification" section of the title block on the drawing, verify the following:</p> <p>A. If the drawing contains permanent items classified in accordance with QAP-2-3 (as documented in the applicable DIE), classification of these items is indicated (by QA-1, QA-2, etc.). A drawing may indicate more than one classification.</p> <p>B. If the drawing contains temporary items or controls determined to be Important to Waste Isolation of Important to Radiological Safety (i.e., subject to QA requirements) in the applicable DIE, verify that "Note" is in the classification title block, where z is an available note number. Note z shall indicate that temporary items and/or controls subject to QA requirements are annotated as "Q," and that temporary items are not assigned specific classification numbers.</p> <p>C. If the drawing contains no permanent items classified in accordance with QAP-2-3 and does not contain temporary items or controls subject to QA requirements per the applicable DIE, indicate "QA-None."</p> <p>D. If no analysis has been performed on the SSC, the QA classification should be "TBD-XXX," with the XXX indicating the tracking number. See NLP-3-15.</p> <p>(Para. 5.2.1)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Where individual items or controls need to be identified for clarity (e.g., where a single component has a particular QA classification, where a system changes classification, or where 5.2.1A or 5.2.1B are applicable), verify the classification/control shall be denoted as shown in Attachments I and II of NLP-3-18, or shall be explained in a note on the drawings. (Para. 5.2.2)		
4	Verify that the note on the title page indicates permanent item QA Classification(s) (QA-1, QA-2, etc.), if any, and the existence of QA controls for temporary items, if any, based on the results of the applicable DIE. If no analysis has been performed on the SSC, verify the QA classification should be "TBD-XXX," with the XXX indicating the tracking number. See NLP-3-15. (Para. 5.3.2)		

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5	Where individual items need to be identified for clarity (e.g., where a single component has a particular QA classification, or where a system changes classification), verify the item and its classification(s) are described clearly under "Quality Assurance Requirements" and in the body of the specification section. (Para. 5.3.3)		

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¹ ORGANIZATION EVALUATED CRWMS M&O		² <input checked="" type="checkbox"/> EXTERNAL	³ <input checked="" type="checkbox"/> AUDIT	⁴ PREPARED BY <u>Robert L. Howard</u> DATE <u>5/24/94</u> <i>Marlin Horseman 5/31/94</i>	
⁵ DATES OF EVALUATION June 6-24, 1994		<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE		
⁶ CONTROLLING DOCUMENT (Title, Number, Revision) NLP-3-19, Rev. 0, Closure of Review Comments on ESF Title I Design				⁷ ACTIVITY EVALUATED Element 3, Process for Closure of Review Comments on ESF Title I Design	
⁸ ITEM NO.	⁹ CHARACTERISTICS TO BE EVALUATED	¹⁰ REMARKS		¹¹ RESULTS	
1	Verify that all ESF Title I design comments have been closed.				
2	Evaluate the adequacy of the Open Comment Tracking System. (Para. 5.4.1)				

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3	Identify the QA records generated as a result of implementing NLP-3-19 and verify that QA records have been submitted to the LRC in accordance with QAP-17-1. (Para. 6)		

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DATES OF EVALUATION June 6-24, 1994		<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE		
CONTROLLING DOCUMENT (Title, Number, Revision) Development of Basis for Design Documents, NLP-3-20, Rev 0				ACTIVITY EVALUATED Element 3, Design Control	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS		RESULTS	
1	Verify that Basis for Design (BFD) documents are developed following the format described in Attachment I. (Para. 5.1.1)				

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Verify that while the design is being developed only those portions of the BFD designated by Configuration Item Identifiers (CII) which have been previously approved and baselined, or which are being submitted in the current design package or design segment for procurement or construction, are considered to be complete at the submittal of any revision. (Para. 5.1.2)		
3	Verify that "To Be Verified (TBV)", "To Be Determined (TBD)", and "To Be Specified (TBS)" are used to indicate that information contained in BFD Design Criteria has not been fully determined or qualified and are shown in both the text and the appropriate log. (Para. 5.1.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Verify that the Department Manager assigns a BFD Preparer, determines the scope of the design package or work segment, directs the BFD Preparer to prepare or revise the BFD, determines which CIs are to be included in the design package or work segment, and furnishes a list of the impacted CIs to the BFDP (Paras. 5.2.1A, B, C, D)		
5	Verify that the BFD Preparer furnishes a list of the CIs and the definitions of the CIs impacted by the design package or work segment and that the LDEs: A. Review the definition of each CI and determine the boundaries and interfaces which impact the design. B. Prepare a list of DRD requirements which impact the design of the CIs included in the design package or work segment. C. Provide the information in A and B above to the BFD Preparer. (Paras. 5.2.2, 5.2.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS <i>Record objective evidence reviewed, method of verification, personnel contacted</i>	RESULTS
6	<p>Verify that the Department Manager reviews the requirements lists and submits copies to the Responsible Manager, covered by an Inter-Office Correspondence (IOC) letter requesting acceptance. (Para. 5.2.5)</p>		
7	<p>Verify that the Responsible Manager reviews the requirements lists for completeness and, if acceptable, returns them to the Department Manager indicating acceptance or processes as follows:</p> <p>A. If differences arise, the Responsible Manager marks comments on the lists and submits the lists to the Department Manager.</p> <p>B. The Department Manager and Responsible Manager attempt to resolve the comments but if not resolved, the comments are escalated to successively higher levels of management until resolved. (Para. 5.2.6)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
8	<p>Verify that the Discipline Preparer uses the accepted requirements lists to develop the BFD inputs for each CI as follows:</p> <ul style="list-style-type: none"> A. Reviews existing criteria, if any within the CI. B. Expands existing design criteria or develops additional design criteria to address all the requirements which impact the current scope of the design of the CI including conclusions and agreements reached or designer's interpretations of compliance with these conclusions and agreements stated as design criteria and included in the appropriate CI sections. C. Designates as TBV TBD, or TBS any design criteria which contains information that is not qualified. If TBV or TBD, provides a brief statement of what is required. D. Lists references to the specific DRD requirements which have directed or affected the criteria after each design criterion. E. Provides the specific design input documents from which the design criteria are derived. F. Lists any other specific design references which are used as inputs or sources for the criteria after each design criterion. G. Mark requirements on the list that are beyond the current design scope as Out of Current Scope (OCS). H. Submits to the BFD Preparer the new and expanded design criteria with references, TBV/TBD descriptions, the marked list showing OCS requirements, and a complete list of the design outputs: calculations, specifications, and drawings. <p>(Paras. 5.2.9A, B, C, D, E, F, G, H)</p>		

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9	<p>Verify that the BFD Preparer:</p> <p>A. Prepares or revises the general sections of the BFD (Sections 1 through 6, see Attachment I).</p> <p>B. Compiles Section 7, CONFIGURATION ITEM DEFINITION AND DESIGN REQUIREMENTS in the format shown in Attachment I, using the information provided by the Lead Design Engineers (LDEs).</p> <p>C. Shows CI Identifier numbers adjacent to the CI titles.</p> <p>D. Lists the specific design references used as inputs or sources for the criteria in the reference segment at the end of each section and notes the reference immediately following the design criteria in the text.</p> <p>E. Compiles the quality assurance controls and QA classifications, defined by the Determination of Importance Evaluation (DIE) or other sources.</p> <p>F. Summarizes the design criteria TBVs, TBDs, and TBSs in appropriate logs.</p> <p>G. Develops the traceability matrix showing the trace from DRD requirements to the BFD design criteria and CIs.</p> <p>H. Develops the traceability matrix, showing the trace from the CIs to calculations, specifications, and drawings. (Paras. 5.2.10A, B, C, D, E, F, G, H)</p>		

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10	Verify that the BFD Preparer, upon completion of the initial draft of the BFD text, prepares an IOC requesting a discipline check and a check copy of the draft inputs for each Lead Design Engineer affected by revisions to Section 7 of the BFD. (Para. 5.3.1)		
11	Verify that the checker: <ul style="list-style-type: none"> A. Reviews the discipline inputs for each CI in accordance with the checklist in Attachment IV B. Marks comments and suggested additions and deletions in red in a legible manner on the check copy C. Reviews and attempts to resolve the comments with the Discipline Preparer for the CI and discipline. (Para. 5.3.3) 		

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12	Verify that the checker, original preparer, and Lead Discipline Engineer sign the checklist and return the marked copy and signed checklists to the BFD Preparer. (Para. 5.3.4)		
13	Verify that the BFD Preparer incorporates comment resolutions and forwards the discipline check IOC and checklists to Engineering Document Control (EDC). (Para. 5.3.5)		

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14	Verify that the BFD Preparer submits to EDC a copy of the Interdiscipline Review Copy (IRC), a list of reviewers, and the required review completion date and that EDC prepares and distributes to each reviewer an IOC with a copy of the IRC to initiate the interdiscipline review. (Paras. 5.4.3, 5.4.4)		
15	<p>Verify that each reviewer:</p> <p>A. Reviews the IRC in accordance with appropriate items on the checklist in Attachment V</p> <p>B. Annotates any errors and specific comments in red in the IRC.</p> <p>C. Checks the items on the review checklist that have been completed, signs and dates the checklist.</p> <p>D. Delivers the checklist and marked document to the EDC. (Para. 5.4.5)</p>		

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16	Verify that the BFD Preparer and appropriate Discipline Preparer resolve comments with the reviewer and that the reviewer and Discipline Preparer sign the checklist indicating that comments were resolved. (Paras. 5.4.9, 5.4.10)		
17	Verify that, upon completion of incorporation of comment resolutions, the BFD Preparer prepares a copy of the BFD, signs the signature page and forwards the BFD to the Department Manager who signs the signature page indicating approval. (Paras. 5.5.1, 5.5.2)		

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18	Verify that the BFD Preparer initiates disposition and entry into the technical baseline in accordance with M&O Baseline Control procedure QAP-3-4 and after baselining is complete, the Department Manager forwards the BFD to the appropriate DOE Branch Chief for review/acceptance. (Paras. 5.6.1, 5.6-second)		
19	Verify that QA Records are submitted to the LRC in accordance with QAP-17-1. (Section 6)		

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5 DATES OF EVALUATION June 6-24				6 CONTROLLING DOCUMENT (Title, Number, Revision) NLP-6.1, R02, P01 YMSCO: Document and Records Center: Document Control	
8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS		11 RESULTS	
1	Determine through interviews with DRC staff and YMSCO if this activity is performed as a CRWMS Participant (under the M&O QA Program) or as a Direct Support Contractor (under the OCRWM QA Program). If the activities are performed as a Direct Support Contractor, the activities will be audited as part of the YMSCO Audit. Verify that all design documents are received with an appropriate transmittal. (Para. 5.1.1.1).				

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2	Determine if (necessary) design information has been entered into the CDIS. What determines "necessary information"? (Para. 5.1.1.1)		
3	<p>Verify that receipt of Controlled Design Documents includes:</p> <p>a. An approved, reproducible master</p> <p>b. The completed transmittal form provides instructions for:</p> <ul style="list-style-type: none"> • issuance of the "original" • document; • revision; • removal of superseded/obsolete documents and • designates individuals(s) to be on initial controlled distribution <p>c. Document title, identification number and revision level correctly entered on both the document and the transmittal. (Para. 5.1.1.1)</p>		

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4	Verify how the "Interim Change Notices", is used in the approved change mechanism. (Para. 5.1.1.1, NOTE)		
5	Verify transmittals and documents received by the DRC staff have been received, stamped, and signed, a copy made, and evidence that the original accepted has been returned to the document originator. (Para. 5.1.1.2)		

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6	Verify that words, "First Submittal", has been applied on the mylar or the document, if it was the first time received by the DRC for issuances. (Para. 5.1.1.3)		
7	Verify that distribution was to names listed on transmittal for distribution, or the distribution list in the CDIS, and that the first page of each controlled document has been stamped "Field Controlled Copy". (Para. 5.1.1.4)		

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8	Verify that a receipt control number appears or has been entered on the "Field Controlled Copy" stamped areas. Verify this matches the information entered into CDIS for each individual listed on the instructions included in the transmittal received with the document from the originator. (Para. 5.1.1.5)		
9	Verify transmittal/receipt process is complete and has been entered into CDIS. (Para. 5.1.2)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
10	Verify the DRC/DCC 20 Day return of transmittal/reminder notice and/or decontrol notice (Attachment I) is effectively being implemented. (Paras. 5.1.3.1, 5.1.3.2)		
11	Verify that upon receipt of approved FCRs, transmittals and instructions from the FCCB secretary, the DRC staff has entered the FCR information into the CDIS, copied the instructions from the FCCB and returned the original written instructions to the FCCB secretary. (Para. 5.1.4.1)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
12	Verify that DRC staff has reviewed the written instructions for impacted documents and removed impacted master documents from the file; posted the FCR to the master documents by use of a posting stamp or applique. (Para. 5.1.4.2)		
13	Verify issue log and the CDIS database has been reviewed to determine if any live or distributed documents are impacted by change documents. (Para. 5.1.4.3)		

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14	Has DRC staff cross-referenced the change documents to the impacted documents on the CDIS database and/or in the "NOTES and FLAGS" of the issue log? (Para. 5.1.4.4)		
15	Verify that the DRC staff has processed the impacted live temporary controlled documents and applicable change documents as follows: a. Entered the change document in the issue log or in the CDIS, as applicable; b. Stamped the change document copy with the Field Controlled Document stamp; c. Added the recipient control number; d. Added the expiration date to the stamp; e. Contacted the recipients of impacted temporary controlled documents and requested they report to the DRC for issues of controlled copies of change documents; f. Verify that the DRC issued the temporary controlled document copy of the change document to the recipient along with a Request for Field Controlled Document (RFCD) [Attachment II]. g. Verify that the recipient signed the RFCD and filed the completed RFCD. (Para. 5.1.4.5)		

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16	By interview, determine, if any, recipients refused to report to the DRC and if the DRC transmitted a controlled copy of change documents via manual transmittal and follow-up to secure acknowledgement with instructions to recipient to post changes to impacted documents. (Para. 5.1.4.5 "NOTE")		
17	<u>General</u> Verify that the RFCD process is implemented. (Paras. 5.1.4, 5.1.5, 5.1.6, 5.1.7, 5.1.8, 5.1.9)		

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5 DATES OF EVALUATION June 6-24, 1994		6 <input type="checkbox"/> INTERNAL	7 <input type="checkbox"/> SURVEILLANCE	PREPARED BY <u>J. Matras</u> DATE <u>5/2/94</u> <i>Marlin Housman 5/31/94</i>	
8 CONTROLLING DOCUMENT (Title, Number, Revision) NLP-17-1, Rev. 2, Yucca Mountain Site Office: Document and Records Center: Records Services Operations			9 ACTIVITY EVALUATED Element 17, Processing of QA Records		
10 ITEM NO.	11 CHARACTERISTICS TO BE EVALUATED	12 REMARKS		13 RESULTS	
1	Determine through interviews with DRC staff and YMSCO if this activity is performed as a CRWMS Participant (under the M&O QA Program) or as a Direct Support Contractor (under the OCRWM QA Program). If the activities are performed as a Direct Support Contractor, the activities will be audited as a part of the YMSCO Audit. Verify that received records have been checked. (Para. 5.1.1)				

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2	Verify that records have been reviewed before submittal to the Central Record Facility. (Paras. 5.1.2.1, 5.1.2.2)		
3	Verify that the records package contains a table of contents that includes the information in paragraph 5.1.3. (Para. 5.1.3)		

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4	Verify that the DRC performs the activities described in paragraph 5.1.4 for Records Package Segments. (Para. 5.1.4)		
5	Verify that electronic records are adequately submitted. (Para. 5.1.6).		
6	Verify the adequacy of the protection, storage, and management of records and information materials by the DRC staff. (Para. 5.1.9)		

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5 DATES OF EVALUATION June 6-24, 1994			

6 CONTROLLING DOCUMENT (Title, Number, Revision) NLP-17-4, Rev. 0, PO2, Yucca Mountain Site Office: Program Records Management Microfilming Program Records	7 ACTIVITY EVALUATED Element 17, Processing of QA Records
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8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS	11 RESULTS
1	Verify that records to be microfilmed are prepared in accordance with Para. 5.2.		
2	Verify that corrections made to the microfilm are performed in accordance with Paragraph 5.5. Also, determine the adequacy of the quality control reviews. (Paras. 5.5.2, 5.7)		

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3	Verify that tests are performed to identify residual thiosulfate ion concentrations and that if concentrations are greater than or equal to 0.014 grams per square all microfilm activities are stopped and a CAR is issued. (Para. 5.6.6)		

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¹ ORGANIZATION EVALUATED M&O		² [x] EXTERNAL	³ [x] AUDIT	⁴ PREPARED BY <u>J. Matras</u> DATE <u>5/2/94</u> <i>Marlin Horasman 5/31/94</i>	
⁵ DATES OF EVALUATION June 6-24, 1994		[] INTERNAL	[] SURVEILLANCE		
⁶ CONTROLLING DOCUMENT (Title, Number, Revision) NLP-17-5, Rev. 1, Storage and Retrieval of Quality Assurance Records by Security Archives of Las Vegas or Another Records Storage Services Supplier				⁷ ACTIVITY EVALUATED Element 17, Processing of QA Records	
⁸ ITEM NO.	⁹ CHARACTERISTICS TO BE EVALUATED	¹⁰ REMARKS		¹¹ RESULTS	
1	Verify that Security Archives of Las Vegas (SLAV) properly maintains QA records. (Para. 5.1.4, 5.1.5, 5.1.7, 5.2.1, 5.2.3, 5.4.1, 5.5.2)				
2	Verify that requests for the retrieval of QA records are processed by the M&O Las Vegas Records Management Supervisor or authorized personnel from the M&O Contractor Staff, CRWMS Program staff, and other participants. (Para. 5.8.1)				

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1 ORGANIZATION EVALUATED CRWMS M&O		2 [x] EXTERNAL	3 [x] AUDIT	4	
5 DATES OF EVALUATION June 6-24, 1994		[] INTERNAL	[] SURVEILLANCE	PREPARED BY <u>J. Matras</u> DATE <u>5/2/94</u> <i>Marilyn Horacwan 5/3/94</i>	
6 CONTROLLING DOCUMENT (Title, Number, Revision) VLP-17-8, Rev. 0, Storage & Retrieval of Quality Assurance Records at National Underground Storage				7 ACTIVITY EVALUATED Elements 17, and 18, QA Records Storage and Retrieval Process	
8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS		11 RESULTS	
1	<p>Review the latest M&O audit report of NUS. Determine through audit report review and interview with the ATL, if the following characteristics were verified during the audit.</p> <p>Verify that National Underground Storage (NUS) has provided adequate protection against damage to records from environmental conditions (such as moisture, high and low temperatures, humidity, and pressure), natural disasters (such as winds, floods or fires), and infestations of pests or molds. (Para. 5.1.2)</p>				

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2	Verify that NUS has facilities to store a variety of mediums, including but not limited to, silver master 16mm roll microfilm, 35mm aperture cards, computer magnetic tapes, optical disks, audiovisual records, and one-of-a-kind records that are stored in their original form. Verify that these records are maintained in containers on shelving, or file cabinets appropriate for the medium being stored. (Paras. 5.1.6, 5.1.7)		
3	Verify that NUS ensures that notations are placed on the storage container of the QA records to indicate that they are "Lifetime Records". (Para. 5.1.8)		

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4	Verify that the storage facility meets the design and construction requirements for a single storage facility or acceptable alternatives. (Paras. 5.2.1, 5.2.2)		
5	Verify that upon receipt of records, NUS acknowledges their receipt by completion of NUS form-6 (Attachment, an official receipt card) in addition to verifying the shipment against the Storage Transmittal (Attachment II). Verify that the receipt card indicates the storage location of the shipment (i.e., vault, section or drawer location). (Para. 5.3.1)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	<p>Verify that NUS properly organizes, stores and protects records.</p> <p>a. Microforms b. Electronic Records c. One-of-a-Kind and Oversized Records.</p> <p>(Paras. 5.4.1, 5.4.2, 5.4.3)</p>		
7	<p>Verify that NUS inspects and tests microfilm records. (Para. 5.5.)</p>		
8	<p>Verify that the M&O Vienna Records Imaging and Indexing Manager notifies the NUS storage facility personnel of individuals (limited to the Records Imaging and Indexing Managers, Records Managers, Microfilm Group Leader, and at least one representative from OCRWM Information Management Division and QA) who have access to NUS storage facility. (Para. 5.6.1)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9	Verify that individuals removing records have a properly completed authorization card on file initiated by the Records Imaging and Indexing Managers with OCRWM approval. (Paras. 5.6.2, 5.7.1)		
10	Verify that program records removed from NUS permanent storage facilities are documented to include the following as a minimum: the names(s) of the individuals(s) removing the records, description of the records(s), the date of removal, and an estimated date of return. (Para. 5.7.2)		

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1 ORGANIZATION EVALUATED CRWMS M&O		2 <input checked="" type="checkbox"/> EXTERNAL	3 <input checked="" type="checkbox"/> AUDIT	4 PREPARED BY <u>Walter R. Coutier</u> DATE <u>5/25/94</u> <i>Marlin Horseman 5/21/94</i>	
5 DATES OF EVALUATION June 6-24, 1994		<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE		
6 CONTROLLING DOCUMENT (Title, Number, Revision) YAP-15.1Q, <i>Control of Nonconformances</i> , Rev. 1			7 ACTIVITY EVALUATED Element 15, Nonconformances		
8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS		11 RESULTS	
1	Verify YMP personnel initiate NCRs using Exhibit YMP 15.1.Q.1, in accordance with para. 5.1.1 a-h.				
2	Verify NRC Coordinator assigns NCR numbers in accordance with Attach. 9.3, enters NCR in Log and Tracking System and distributes copies. (Para. 5.1.2 a-c)				

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3	Verify the Specifying Organization QA validates NCR and notes appropriate entries on form. (Para. 5.1.3 a-d)		
4	Verify NCR Coordinator updates log and distribution. (Para. 5.1.4 a-c)		
5	Verify the Specifying Organization assigns a dispositioner with pertinent background information based on NRC description. (Para. 5.2.1)		

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6	Verify NCR dispositions are performed in accordance with Para. 5.2.2 a-g.		
7	Verify the Specifying Organization QA personnel review recommended dispositions in accordance with Para. 5.2.3 a-g		
8	Verify NCR Coordinator updates logs and files. (Para. 5.2.4 a and b)		

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9	Verify the Performing Organization performs disposition of NCR in accordance with para. 5.3.1 a-e		
10	Verify the Performing Organization QA or Specifying Organization QA verifies NCR disposition. (Para. 5.3.2 a-d)		
11	Verify NCR Coordinator updates NCR files and log. (Para. 5.3.3 a and b)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
12	Verify Specifying Organization QA performs review of NCR for procedure compliance. (Para. 5.3.4 a-d)		
13	Verify NCR Coordinator updates log and distribution. (Para. 5.3.5 a-c)		
14	Verify revisions to NCR's are processed in accordance with para. 5.4.1 a-c.		
15	Verify each Q and Non-Q NCR and any continuation pages are handled as lifetime QA records in accordance with AP1.18Q (Para. 7.0)		

M&O Qualification and Training Process Flow - Audit HQ-94-02

End Product: Personnel who can perform Quality Affecting Work in accordance with the M&O QA Program.

<u>Process Steps</u>	<u>Objectives</u>	<u>Measurement Methods</u>
<p style="text-align: center;">Recruitment and Hiring</p>	<p>Employment of qualified candidates</p>	<p>Hiring requirement Position Descriptions Verify Education and Experience</p>
<p style="text-align: center;">Identify Work Tasks</p>	<p>Define Training Boundaries</p>	<p>Position Descriptions Task Descriptions Interviews</p>
<p style="text-align: center;">Define Training Needs</p>	<p>Assure personnel are adequately trained Defined target audience</p>	<p>Position Description Employee Assignments Core Training Requirements Education and Experience Training Materials/Plans</p>
<p style="text-align: center;">Establish & Implement Delivery System</p>	<p>Assure timely training of required personnel by the right people.</p>	<p>Develop courses Certified Instructors Notification Schedule/Logistics Reading/Self-study Program Interim Records Internal Evaluation</p>
<p style="text-align: center;">Evaluation of Training Program</p>	<p>Assure personnel can perform work effectively in accordance with the QA program & confirm any process weaknesses & strengths</p>	<p>CARs Root Cause Needs Analysis Manager/Supervisor Feedback</p>

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1 ORGANIZATION EVALUATED CRWMS M&O		2 <input checked="" type="checkbox"/> EXTERNAL	3 <input checked="" type="checkbox"/> AUDIT	4 PREPARED BY <u>Norman Frank</u> DATE <u>5/2/94</u> <i>Marlene Horsman 5/31/94</i>	
5 DATES OF EVALUATION June 6-10, 1994		<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE		
6 CONTROLLING DOCUMENT (Title, Number, Revision) QAP-2-2, R02, P03 <i>Verification of Personnel Qualifications</i>			7 ACTIVITY EVALUATED Element 2, Recruitment and Hiring Activities		
8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS		11 RESULTS	
1	Review the process used to specify personnel needs prior to hiring. Evaluate if this process would lead to the hiring of candidates with the necessary skills to effectively perform work. (QAP-2-2, Para. 5.1)				
2	Review the process used to identify potential candidates. Evaluate any constraints imposed in the process.				

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	Determine the criteria used to select personnel to fill needs. (QAP-2-2, Para. 5.1.1)		
4	Review the methodology used to assure that selected personnel meet the needs of the position. (QAP-2-2, Para. 5.1-5.3)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5	Review five position descriptions against the hire date, work performed, content, and revisions. (QAP-2-2, Para. 5.1) E. Bogart, F.F. Emami, S.M. Keyser, J.S. Ray, B.R. Teer		
6	Review the training files of the people covered by the five position descriptions to determine if education and experience have been verified. (QAP-2-2, Paras. 5.2, 5.3)		

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5 DATES OF EVALUATION June 6-10, 1994		<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE		
6 CONTROLLING DOCUMENT (Title, Number, Revision) QAP-2-2, Rev. 2, P03, <i>Verification of Personnel Qualifications</i>			7 ACTIVITY EVALUATED Element 2, Identity Work Tasks		
8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS		11 RESULTS	
1	Interview Managers/Supervisors and determine where they obtain work assignments.				

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	Review the process for assigning work to an individual? Does the process evaluate required versus personnel skills?		
3	Determine how work to be done by an individual is defined. (QAP-2-2, Para. 5.1)		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	Review task descriptions to determine if the evaluation of QAP-2-0 has been performed and documented. Select five that are subject to QARD requirements for further review.		
5	Review five task descriptions; compare tasks versus position description of the people who did the work; compare task versus training of the individual; compare dates of performance versus dates of training.		

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5 DATES OF EVALUATION June 6-10, 1994		<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	PREPARED BY <u>Norman C. Frank</u> DATE <u>5/20/94</u> <i>Marlini Housman 5/21/94</i>	
6 CONTROLLING DOCUMENT (Title, Number, Revision) QAP-2-1, Rev. 4, P03, <i>Indoctrination and Training</i>				7 ACTIVITY EVALUATED Element 2, Define Training Needs <i>MCH</i>	
8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS		11 RESULTS	
1	What processes are used to determine, specify, and document the training needs of specific individuals? (QAP-2-1, Paras. 5.2.1 through 5.2.5, 5.3.2, 5.4.3, 5.5.1; QAP-2-9, Para. 5.2)				
2	What is the process used to request additional preparation and delivery of classroom training? (QAP-2-1, Para. 5.1.2)				

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	What is the process used to assure that training is designed to meet the needs of management and individuals to perform assigned task?		
4	What is the process used to assure that training for a specific individual has been completed prior to assigning work subject to QARD requirements? (QAP-2-2, Para. 5.1.5; QAP-2-1, Para. 5.3.2)		
5	What process is used to verify that the work assigned to an individual is within the capabilities of the individual? (QAP-2-1, Para. 5.2.1 through 5.2.5, 5.3.2, 5.4.3, 5.5.1; QAP-2-2, Para. 5.1.5; QAP-2-9, Para. 5.2.1)		

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5 DATES OF EVALUATION June 6-10, 1994		<input type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	PREPARED BY <u>Walter R. Coutier</u> DATE <u>4/28/94</u> <i>Marlin Housman 5/31/94</i>	
6 CONTROLLING DOCUMENT (Title, Number, Revision) QAP-2.1, Indoctrination & Training, Rev. 4, P03; QAP-2-9, Develop & Conduct Training, Rev. 1, P02				7 ACTIVITY EVALUATED Element 2, Establish and Implement Training Delivery System	
8 ITEM NO.	9 CHARACTERISTICS TO BE EVALUATED	10 REMARKS		11 RESULTS	
1	<p>Program Indoctrination:</p> <p>Through interviews, sampling of personnel training records, position descriptions, and job assignments perform the following:</p> <p>Evaluate the process by which Managers/Supervisors designate personnel to receive classroom training (core QA requirements) prior to work. (QAP-2-1, Para. 5.2.1)</p> <ul style="list-style-type: none"> Required: QARD, QAPs-1-1,2-0,2-1,2-3,6-1,16-1, and 17-1 (QAP-2-1, Para. 5.2.3) Prior to classroom training, personnel must complete Self Study Record (ATT. II). [QAP-2-1, Paras. 5.2.4, 5.4.1] 				
2	Evaluate the process/methodology used by Managers/Supervisors to assess the need for additional training for tasks, responsibilities, etc. (QAP-2-1, Paras. 5.2.2, 5.4.3)				

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3	<p>Developing Training Materials:</p> <p>Evaluate lesson plans developed by subject matter experts for classroom (core) training per standard (Att. III) and content and coverage of current requirements. (QAP-2-9, Para. 5.4.1)</p>		
4	<p>Evaluate the processes used for obtaining lesson plan approval by Managers/Supervisors and a certified instructor for technical content and completeness, and the Training Manager review and approval. (QAP-2-9, Para. 5.4.2, 5.4.3)</p>		

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5	<p>Conducting Classroom Training:</p> <p>Evaluate the adequacy of the notification methods used by the Training Department to M&O personnel that identify the schedule and location of training. (QAP-2-9, Para. 5.5.1)</p>		
6	<p>Evaluate: certified instructor conduct of training in accordance with approved lesson plans; and that Training Attendance Records (QAP-2-1 Att. I) are completed and forwarded to the Training Department (QAP-2-9, Paras. 5.5.2, 5.5.3)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
7	<p>Conducting Briefings:</p> <p>Evaluate the process for determining and conducting briefings (reasons, topics, timeliness, applicability, and subjects).</p>		
8	<p>Review the Training Attendance Records and the timeliness of forwarding them to the Training Department. (QAP-2-9, Para. 5.6.3)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
9	<p>Training:</p> <p>Evaluate the process used by the Training Manager to schedule, coordinate, monitor, and provide required training. (QAP-2-9, Para. 5.1.1)</p>		
10	<p>Evaluate the controls used to assure that the required training (core materials, job/task specific, existing waivers, prerequisite documentation, and training requests, etc.) are considered and verified prior to scheduling and conducting the training.</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
11	<p>Instructor Certification:</p> <p>Evaluate the process for certifying instructors to develop, evaluate, and present classroom training. (QAP-2-9, Para. 5.3.1)</p>		
12	<p>Evaluate the Training Managers' selection and approval of Certified Instructors maintenance, competency in technical discipline, and instructional techniques. (QAP-2-9, Para. 5.3.4)</p>		
13	<p>Evaluate Instructor Certification (Att. I) records for initial certification and 5 year requalification. (QAP-2-9, Paras. 5.3.2, 5.3.3)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
14	<p>Requested Training:</p> <p>Evaluate Managers/Supervisors methods for reviewing regulatory requirements, performance deficiencies, CARs, and needs analyses for identifying training needs. (QAP-2-9, Para. 5.2.1)</p>		
15	<p>Evaluate the process used by the Training Manager to coordinate with Managers/Supervisors job requirements and standards of performance when identifying and selecting training activities. (QAP-2-9, Para. 5.2.1)</p>		
16	<p>Evaluate the Training Managers' process used by the Training Manager for handling requests for training to develop or modify classroom training. (QAP-2-9, Para. 5.2.2)</p>		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
17	<p>Continuing Training:</p> <p>Evaluate the process used to determine the need for continued training, over and above the core materials (procedures, standards, and other), used by the Training Department or Managers/Supervisors. (QAP-2-1, Para. 5.3.1)</p>		
18	<p>Evaluate the process of how Managers/Supervisors ensure that personnel have knowledge of current procedure requirements prior to the assignment and performance of work. (QAP-2-1, Para. 5.3.2)</p>		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
19	<p>Training Waivers:</p> <p>Verify that any training waivers (ATT. III) are used ONLY for prevention of duplication of training or training not related to job function. Verify that justification is documented by Managers/Supervisors and approved by the Training Manager prior to work, and filed in the individual's training file. (QAP-2-1, Paras. 5.5.1, 5.5.2, and 5.5.3)</p>		
20	<p>Evaluate the validity of any training waiver justification for timeliness, and applicability. Are the process controls adequate to ensure that waivers are considered prior to additional work assignments that may be effected?</p>		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
21	<p>Records:</p> <p>Through review of a sampling of record files, verify the process for the following:</p> <ul style="list-style-type: none"> a. Training records are treated as privileged. (QAP-2-1, Para. 5.6.1). b. Records are adequately retained in temporary storage in the Training Department no longer than 12 months (QAP-2-1, Para. 6.1.3). Verify that this temporary storage is adequate and necessary. c. Evaluate the adequacy of the storage methods used to preclude damage, deterioration, loss, and limited access. 		

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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
22	<p>Records (Continued):</p> <p>The minimum records generated and submitted to the LRC by QAP-2-1, Para. 6.1.1:</p> <ul style="list-style-type: none"> a. Training Attendance Record (Att. I) b. Reading/Self-Study Record (Att. II) c. Waiver of Required Training (Att. III) 		
23	<p>The minimum records generated by QAP-2-9, Para. 6.1.4:</p> <ul style="list-style-type: none"> a. M&O Instructor Certification b. Completed and approved lesson plans c. Examination and test results 		

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QUALITY ASSURANCE CHECKLIST

¹ ORGANIZATION EVALUATED CRWMS M&O	² <input checked="" type="checkbox"/> EXTERNAL <input type="checkbox"/> INTERNAL	³ <input checked="" type="checkbox"/> AUDIT <input type="checkbox"/> SURVEILLANCE	⁴ PREPARED BY <u>Donald Hendrix</u> DATE <u>5/16/94</u> <i>Martin Horvath 5/31/94</i>	
⁵ DATES OF EVALUATION June 6-10, 1994	⁶ CONTROLLING DOCUMENT (Title, Number, Revision) QAP-2-1, <i>Indoctrination and Training</i> , R4, P03, QAP-2-9, <i>Development and Conduct of Training</i> , R1, P02			⁷ ACTIVITY EVALUATED Element 2, Evaluation of Training Program
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS	RESULTS	
1	<p>Manager/Supervisor Feedback</p> <p>Select representative Managers and Supervisors of personnel performing quality affecting work for departments within the M&O.</p> <p>Interview Managers and Supervisors for:</p> <p>a. Awareness and use of training feedback processes.</p> <p>b. Does the training department offer training content to support:</p> <p>1) Position Descriptions</p> <p>2) Task assignments.</p> <p>3) Deficiencies or problems identified?</p>			

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
2	<p>Select a sample of personnel performing quality affecting work and interview them for:</p> <ul style="list-style-type: none"> a. Adequacy of training offered vs assigned tasks: <ul style="list-style-type: none"> 1) Content. 2) Availability. 3) Methods of presentation. b. Areas of additional training needs. c. Awareness of methods and process to request training. 		
3	<p>Evaluate a sample of training requests submitted by Managers/ Supervisors.</p> <ul style="list-style-type: none"> a. Was action taken? b. Does the training department follow-up on adequacy and effectiveness? c. Were these repetitive requests by Managers/Supervisors or by subject matter? 		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4	<p>Corrective Action Evaluation and Feedback</p> <p>Select from the dispositions/findings/comments all CARs, Audit Reports, and Surveillance reports that pertain to problems in the training area.</p> <p>Review corrective actions to assure they pertained to the training area.</p>		
5	<p>Determine if there were any repetitive observations of the same deficiency/cause that identified training action. If so, were corrective actions redefined and implemented?</p>		

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6	Verify that the corrective action was appropriate for the deficiency/cause.		
7	Determine through interview with personnel listed on the deficiency document, that the process used involved training to correct the root-cause determination.		

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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	Determine through interview with training leads, that root-cause determinations requiring training action were implemented and the completion of correction was tracked and verified.		
9	Determine through interview that a process is in place to review corrective actions and that the effectiveness of the correction effectiveness is measured.		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
10	<p>Gap Analysis</p> <p>Select a random number of personnel/position descriptions/task descriptions from the files.</p> <p>Interview each individual to evaluate:</p> <ul style="list-style-type: none"> a. Knowledge of the training requirements as listed on the individuals I&T. b. Understanding of the maintenance requirements for training. c. Knowledge of specific individual training requirements - consider frequency of use. d. Individuals opinion on preparedness to perform task as outlined on I&T. e. Individuals opinion on whether training was/is adequate for required training per I&T. f. Individuals understanding of the process for requesting training. g. Compare responses from the supervisors to those of the staff to identify any gaps in the understanding/knowledge of the training process. 		

TRW Environmental
Safety Systems Inc.

One Federal Systems Park Drive
Fairfax, VA 22033
703.204.8500

WBS: 9.1.1
QA: QA

May 20, 1994
VA.QA.RAM.5/94.058

Mr. Robert W. Clark
Director, Headquarters Office of Quality Assurance
U.S. Department of Energy
1000 Independence Avenue, S.W.
Washington, D.C. 20585

Dear Mr. Clark:

Subject: M&O QA Program
Applicable QA Procedures for OCRWM Audit

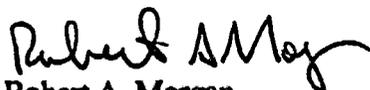
At the request of the OCRWM Lead Auditor, the Management and Operating (M&O) Contractor has updated the list of M&O QA Program Applicable QA Procedures for the OCRWM Audit HQ-94-02, that was submitted to your office on April 19, 1994. The QA procedures identified in column "DOE/RW/0333P" baseline represent the M&O's QA Program that implements the QARD.

The updated list includes:

1. Identification of the applicable implementing line procedures (ILPs)
2. Changes to the original baseline.

If you have any questions, please contact Jim Cassidy at 703.204.8824 or Pete Chomentowski at 703.204.8891.

Sincerely,



Robert A. Morgan
M&O Deputy Quality Assurance Manager

Enclosure

cc: J. Cassidy
P. Chomentowski
M. Horseman
R. Ruth

QAP#	04/19/94 QARD BASELINE	DOE/RW-0333P BASELINE	OTHER CHANGES	REASON
QAP-1-0	Revision 1		Revision 2	Business as Usual
QAP-1-1	Revision 2			
QAP-2-0	PCN QAP-2-0, R01, P01			
QAP-2-1	PCN QAP-2-1, R04, P03	PCN QAP-2-1, R04, P04 PCN QAP-2-1, R04, P05		CAR HQ-93-013 CAR HQ-93-013
QAP-2-2	PCN QAP-2-2, R02, P03			
QAP-2-3	PCN QAP-2-3, R06, P01		PCN QAP-2-3, R06, P02	Business as Usual
QAP-2-4	Revision 3		Revision 4	CAR HQ-93-013
QAP-2-5	Revision 3	PCN QAP-2-5, R03, P01		CAR HQ-93-013
QAP-2-6	PCN QAP-2-6, R02, P01		Revision 3	CAR HQ-93-013
QAP-2-7	Revision 0		Revision 1	CAR HQ-93-013
QAP-2-9	PCN QAP-2-9, R01, P02		PCN QAP-2-9, R01, P03	CAR HQ-93-013
QAP-3-0	Revision 1		Revision 2	Design Control Improvement Plan (DCIP)
QAP-3-1	PCN QAP-3-1, R04, P01		Revision 5	DCIP
QAP-3-2	PCN QAP-3-2, R04, P01		Revision 5	DCIP
QAP-3-3	Revision 2		Revision 3	DCIP
QAP-3-4	PCN QAP-3-4, R01, P01			
QAP-3-5	Revision 5			
QAP-3-6	PCN QAP-3-6, R02, P02		Cancellation Pending	
QAP-3-7	Cancellation Notice			

QAP#	04/19/94 QARD BASELINE	DOE/RW-0333P BASELINE	OTHER CHANGES	REASON
QAP-3-8	PCN QAP-3-8, R03, P04		Revision 4	DCIP
QAP-3-9	PCN QAP-3-9, R03, P04		Revision 4	DCIP
QAP-3-10	PCN QAP-3-10, R03, P03		Revision 4	DCIP
QAP-3-11	Cancellation Notice			
QAP-3-12	PCN QAP-3-12, R03, P01			
QAP-3-13	Revision 2		Cancellation Pending	
QAP-3-14	Revision 2		PCN QAP-3-14,R02,P01	Cancellation due to QAP-3-1
QAP-4-1	Revision 2		PCN QAP-4-1, R02, P01	CAR HQ-93-013
QAP-5-1	PCN QAP-5-1, R02, P04		Revision 3	CAR HQ-93-013
QAP-5-2	PCN QAP-5-2, R0, P01			
QAP-6-1	Revision 2		PCN QAP-6-1, R02, P01	Business As Usual
QAP-7-1	PCN QAP-7-1, R02, P01			
QAP-12-1	PCN QAP-12-1, R00, P01			
QAP-16-1	Revision 1		Revision 2	Business As Usual
QAP-16-2	Revision 1			
QAP-17-1	PCN QAP-17-1, R03, P01		PCN QAP-17-1, R03, P02 PCN QAP-17-1, R03, P03	CAR HQ-93-013 CAR HQ-93-013
QAP-17-2	PCN QAP-17-2, R01, P01		PCN QAP-17-2, R01, P02	CAR HQ-93-013
QAP-17-3	Cancellation Notice			
QAP-17-4	Cancellation Notice			

QAP#	04/19/94 QARD BASELINE	DOE/RW-0333P BASELINE	OTHER CHANGES	REASON
QAP-17-5	Revision 1		PCN QA-17-5, R01, P01	CAR HQ-93-013
QAP-17-6	PCN QAP-17-6, R01, P01		Revision 2	CAR HQ-93-013
QAP-18-1	Revision 2	PCN QA-18-1, R02, P01		CAR HQ-93-013
QAP-18-2	PCN QAP-18-2, R02, P01		Revision 3	
QAP-19-1	PCN QAP-19-1, R03, P01			
QAP-19-2	Revision 3	PCN QAP-19-2, R03, P01		CAR HQ-93-013
QAP-19-3	Revision 2			
QAP-19-4	PCN QAP-19-4, R01, P02	PCN QAP-19-4, R01, P03		CAR HQ-93-013
CLP-3-2	Revision 1			
MGP-3-8	PCN MGP-3-8, R00, P03		NLP-3-8 to Replace	
MGP-3-9	PCN MGP-3-9, R00, P01			
MGP-7-1	PCN MGP-7-1, R00, P01			
MGP-15-1	Revision 0			
NLP-2-0	Not in Baseline		Revision 0	
NLP-2-2	Revision 0		Cancellation	
NLP-2-3	Revision 0			
NLP-3-10	Revision 1		PCN NLP-3-10, R01, P01	
NLP-3-13	PCN NLP-3-13, R00, P03			
NLP-3-14	PCN NLP-3-14, R00, P02		Cancellation	
NLP-3-15	PCN NLP-3-15, R00, P03			

QAP#	04/19/94 QARD BASELINE	DOE/RW-0333P BASELINE	OTHER CHANGES	REASON
NLP-3-16	PCN NLP-3-16, R00, P02			
NLP-3-17	Revision 0		Revision 1	
NLP-3-18	Not in Baseline		PCN NLP-3-18, R01, P02	
NLP-3-19	Revision 0			
NLP-3-20	Revision 0			
NLP-6-1	PCN NLP-6-1, R02, P01			
NLP-17-1	Revision 2			
NLP-17-4	Revision 0	PCN NLP-17-4, R00, P01 PCN NLP-17-4, R00, P02	Revision 1	
NLP-17-5	Revision 1			
VLP-17-8	Revision 0		PCN VLP-17-8, R00, P01	
QA Policy Statement	Revision 0			
YAP-15.1Q	Revision 0, ICN-1			
AP-5.21Q	Revision 4			
AP-1.18Q	Revision 0, ICN-1			