

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

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AUDIT/SURVEILLANCE
NO. HQ-93-01

QUALITY ASSURANCE CHECKLIST

ORGANIZATION EVALUATED OCRWM HQ	<input type="checkbox"/> EXTERNAL <input checked="" type="checkbox"/> INTERNAL	<input checked="" type="checkbox"/> AUDIT <input type="checkbox"/> SURVEILLANCE	PREPARED BY <u>Lester W. Wagner</u> DATE <u>11/18/92</u>
DATES OF EVALUATION November 30 - December 9, 1992			

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

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

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QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
2	<p>Verify for the selected individuals: (Section 5.0, Steps 7, 13, 16, 17, 21, 26, & 27)</p> <ul style="list-style-type: none">• Training Assignment forms have been properly completed. • Required training was completed prior to performing quality affecting work (or evidence that the specific necessary training has been completed is available). • Training that was not completed prior to assigned completion date is documented.		

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

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4	<p>Verify for the selected individuals: (Section 5.0, Steps 30, 31, 32, 34, 35 & 36)</p> <ul style="list-style-type: none">• "Self Study" forms have been properly completed. • Required self study was completed prior to performing quality affecting work (or documented evidence that the specific self study necessary has been completed, is available). • Self study not completed prior to assigned completion date has been documented.		

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
5	Verify that the selected individuals have had their education and experience verified and results documented. (Section 5.0, Step 11)		

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

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

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8	Provide a statement as to the overall adequacy and effectiveness of this procedure.		

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QUALITY ASSURANCE CHECKLIST

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

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

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
1	<p>Obtain a listing of the latest SDRs issued (<u>Note:</u> all should be before 10/90) and select a sample to review for appropriate closure and record processing activities. (General)</p> <p>Verify that corrective actions taken for the selected SDRs have been verified and Block 20 has been signed by the verifier. (Para. 5.5.1.1)</p>		

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

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

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DATES OF EVALUATION November 30 - December 9, 1992		<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> SURVEILLANCE	
CONTROLLING DOCUMENT (Title, Number, Revision) <i>Records Management: Las Vegas Record Source Responsibilities, AP-1.18Q, Rev. 1, ICN 10</i>			ACTIVITY EVALUATED QA Records	
ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted		* RESULTS
1	Verify that YM OQA has designated a individual(s) titled "Record Source". (Section 3.11 and Section 5.0, Step 2)			
2	Verify that the "Record Source(s)" are trained. (Section 3.11 and Section 5.0, Step 2)			

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

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ITEM NO.	CHARACTERISTIC TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3	Verify that the YM OQA Record Source is determining record types. (Section 5.0, Step 5.a)		

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

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

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6	Verify through a review of record packages that the Record Source has submitted records or record packages to the LRC in accordance with Appendix D. (Section 5.0, Step 8)		

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