OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT

QUALITY ASSURANCE AUDIT PLAN

FOR AUDIT NO. YMP-92-24

OF

YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT OFFICE

LAS VEGAS, NEVADA

SEPTEMBER 28, THROUGH OCTOBER 2, 1992

Prepared by: _____ Date: 8/14/92
John S. Martin
Audit Team Leader
Yucca Mountain Quality Assurance Division

Approved by: _____ Date: 8/20/92
Donald G. Horton
Director
Office of Quality Assurance

1.0 SCOPE

This internal audit, to be performed by a team of auditors from the Yucca Mountain Quality Assurance Division (YMQAD) of the Office of Quality Assurance (OQA), will evaluate the Yucca Mountain Site Characterization Project Office (YMPO) Quality Assurance (QA) Program to determine whether it meets the requirements and commitments imposed by the Office of Civilian Radioactive Waste Management (OCRWM). This will be done by verifying implementation and effectiveness of the system in place, as well as verifying compliance with requirements.

In addition to follow-up on any open Corrective Action Requests, a representative sample of discrepancies identified during previous QA audits and surveillance of YMPO, will be included in the scope of this audit to determine the effectiveness of YMPO corrective actions.

The programmatic elements to be audited are identified in Section 4.0 of this plan.

2.0 AUDIT SCHEDULE

Pre-Audit Team/Observer Meeting	8:00 a.m., September 28, 1992 Las Vegas, Nevada
Pre-Audit Conference	9:00 a.m., September 28, 1992 Las Vegas, Nevada
Audit Activities	10:00 a.m. to 4:00 p.m. September 28, 1992 Las Vegas, Nevada
	8:00 a.m. to 4:00 p.m. September 28-October 1, 1992 Las Vegas, Nevada
	8:00 a.m. to 10:30 a.m. October 2, 1992 Las Vegas, Nevada
Post-Audit conference	2:00 p.m., October 2, 1992 Las Vegas, Nevada

There will be a daily audit team/observer meeting starting at 4:00 p.m. and a daily audit team/observer/YMPO meeting, starting at 8:00 a.m., to discuss potential deficiencies and establish needed liaison.

3.0 REQUIREMENTS TO BE AUDITED AND APPLICABLE REFERENCES

The requirements to be audited will be contained in the programmatic checklists. These checklists will be developed from the latest revision of the following documents:

- o OCRWM Quality Assurance Program Description Document (DOE/RW-0215) and implementing procedures
- o YMPO Administrative Procedures - Quality (APQs)

The conduct of the audit will be guided by the documents (latest revision) listed below:

- o Quality Assurance Administrative Procedure (QAAP) 18.2, "Audit Program"
- o QAAP 16.1, "Corrective Action Requests"

4.0 ACTIVITIES TO BE AUDITED

Programmatic Elements

YMPO activities associated with the following QA Program elements will be audited:

3.0 Design Control
4.0 Procurement Document Control
5.0 Plans, Procedures, Instructions, and Drawings
6.0 Document Control
7.0 Control of Purchased Items and Services
15.0 Control of Nonconforming Items
17.0 Quality Assurance Records
20.0 Scientific Investigation Control

Programmatic Element 19.0, Computer Software, was considered during development of this audit scope and determined to be not applicable, since YMPO has no current activities for which this element applies.

If the audit team identifies a need to verify additional programmatic or technical areas during the audit, they will be added to the audit checklists and verified accordingly.

5.0 AUDIT TEAM MEMBERS

John S. Martin, Science Applications International Corporation (SAIC), Las Vegas, Nevada, Audit Team Leader
Amelia I. Arceo, SAIC, Las Vegas, Nevada, Auditor
Neil D. Cox, SAIC, Las Vegas, Nevada, Auditor
Sam Horton, SAIC, Las Vegas, Nevada, Auditor
Robert Klemens, SAIC, Las Vegas, Nevada, Auditor
John Matras, SAIC, Las Vegas, Nevada, Auditor

YUCCA MOUNTAIN PROJECT OFFICE
ALL-HANDS MEETING

QA AUDIT YMP-92-24

SEPTEMBER 25, 1992

AGENDA
ALL-HANDS MEETING

• MANAGEMENT PHILOSOPHY ON QUALITY ASSURANCE	CARL GERTZ PROJECT MANAGER
• ACTIVITIES TO BE AUDITED	BOB BARTON SR. SCIENCE & ENGR. MGR.
• YMPO AUDIT COMMAND CENTER HOURS	BOB BARTON SR. SCIENCE & ENGR. MGR.
• AUDIT DEBRIEF FUNCTIONS - TIMING - TYPES OF INFORMATION REQUIRED - INDIVIDUALS PERFORMING DEBRIEFING	BOB BARTON SR. SCIENCE & ENGR. MGR.
• COORDINATION OF CORRECTIVE ACTION FOR POTENTIAL CONCERNS	BOB BARTON SR. SCIENCE & ENGR. MGR.

MANAGEMENT PHILOSOPHY ON QA

MANAGEMENT PHILOSOPHY ON QUALITY ASSURANCE (QA)

- QA IS PART OF OUR MANAGEMENT TOOL. IT IS AN INTEGRAL PART OF THE YUCCA MOUNTAIN PROJECT.
- IMPLEMENTATION IS THE RESPONSIBILITY OF THE LINE ORGANIZATIONS.
- VERBATIM COMPLIANCE WITH YMP PROCEDURES IS MANDATORY FOR ALL INDIVIDUALS.
- EACH INDIVIDUAL IS RESPONSIBLE FOR THE QUALITY OF HIS OR HER WORK.
- IF PROBLEMS ARE ENCOUNTERED DURING IMPLEMENTATION OF PROCEDURES FOR QUALITY AFFECTING ACTIVITIES, THE WORK SHOULD BE STOPPED UNTIL THE PROCEDURES ARE REVISED. THE WORK MAY BE ALLOWED TO PROCEED "AT-RISK" PROVIDED THAT A CAR IS GENERATED AND MANAGEMENT CONCURS WITH THE NEED TO CONTINUE THE ACTIVITY.
- THE PROJECT IS COMMITTED TO CONTINUOUSLY IMPROVING OUR PRODUCTS AND SERVICES TO ASSURE THAT THE HIGHEST QUALITY SCIENTIFIC AND ADMINISTRATIVE WORK IS ACCOMPLISHED.

ACTIVITIES TO BE AUDITED

QA AUDIT NO. YMP-92-24
ACTIVITIES TO BE AUDITED

CRITERION	SUBJECT	GOVERNING PROCEDURES	RESPONSIBLE DD
3	**DESIGN CONTROL**		
(Horton)	o Criteria for Document Reviews Performed by the Engineering and Development Division	BTP-EDD-002, Rev 1 JOHN MATRAS	Simecka
	o Project Change Control Board Process	(2) QMP-03-09, Rev. 3, ICN 1&2	Iorii
	o Change Control Process	(3) AP-3.3Q, Rev. 4, ICN 1,2 & 3	Iorii
	o Field Change Control Process	AP-3.5Q, Rev. 1, ICN 1	Wilson
	o Configuration Management	(1) AP-3.6Q, Rev.0, ICN 1 & 2	Iorii
	o Interface Control	AP 5.19Q, Rev. 2, ICN 1	Simecka
	o Hold Control	AP 5.20Q, Rev. 0, ICN 1	Simecka
	o Preparation and Submittal of As-Built Drawings and Specifications	AP 5.24Q, Rev. 0	Simecka
4	**PROCUREMENT DOCUMENT CONTROL**		
(Klemens)	o Yucca Mountain Project Office Procurement Actions	QMP-04-02, Rev. 0, ICN 1	Dixon
	o Technical Directives	QMP-04-03, Rev. 0	Blanchard
	o Procurement	AP-4.1Q, Rev. 0, ICN 1, 2 & 3	Dixon
	o Field Work Activation	AP 5.21Q, Rev. 3	Blanchard
	o Technical Field Work Request	AP 5.39Q, Rev. 0	Wilson

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ACTIVITIES TO BE AUDITED
(Page 2)

CRITERION	SUBJECT	GOVERNING PROCEDURES	RESPONSIBLE DD
5	**PLANS, PROCEDURES INSTRUCTIONS AND DRAWINGS**		
(Cox)	o Project Office Document Development, Review Approval, and Revision Process	QMP-06-04, Rev. 4, ICN 1,2 & 3	Iorii
	o Technical Document Preparation	QAP 3.5, Rev. 2	Barton *
	o Quality Assurance Program Procedures	QAP 5.1, Rev. 4	Barton *
	o Document Review	QAP 6.2, Rev. 0	Barton *
6	**DOCUMENT CONTROL**		
(Cox)	o Issuance and Maintenance of Controlled Documents	AP-1.5Q, Rev. 6, ICN 1	Gandi
	o Forms Control	AP-1.17Q, Rev. 1, ICN 1	Iorii
	o Project Office Document Development, Review, Approval, and Revision Control	AP-6.1Q, Rev. 3, ICN 1	Iorii
7	**CONTROL OF PURCHASED ITEMS AND SERVICES**		
(Klemens)	o Supplier Evaluation/Qualified Suppliers List	QMP-07-04, Rev. 2	Spence
15	**CONTROL OF NONCONFORMING ITEMS**		
(Arceo)	o Control of Nonconformances	QMP-15-01, Rev. 2, ICN 1&2	Spence
	o Control of Nonconforming Items	AP-5.27Q, Rev. 1	Spence

* Procedure prepared by the OCRWM Office of Quality Assurance

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ACTIVITIES TO BE AUDITED
(Page 3)

CRITERION	SUBJECT	GOVERNING PROCEDURES	RESPONSIBLE DD
17	**QUALITY ASSURANCE RECORDS**		
(Arceo)	o Records Mangement: Las Vegas Record Source Implementation	AP-1.18Q, Rev. 1	Gandi
	o Job Package Completion and Records	AP-6.22Q, Rev. 0	Wilson
19	**COMPUTER SOFTWARE**		
(Martin)	o Confirmation of Non-Applicability	N/A	
20	**SCIENTIFIC INVESTIGATION CONTROL**		
(Vandel & MATRAS)	o Evaluation of Ongoing Activities	BTP-RSE-001, Rev. 0, ICN 1&2	Dyer
	o Peer Review	QAAP 3.3, Rev. 1	Blanchard*
	o Release of Unpublished Information	AP-1.6Q, Rev. 0	Blanchard
	o Preparation, Review, Approval and Revision of SCP Study Plans	AP-1.10Q, Rev. 5, ICN 1	Dyer
	o Control and Transfer of Technical Data on the Yucca Mountain Site Characterization Project	AP-5.1Q, Rev. 2, ICN 1	Dyer
	o Technical Information Flow To and From the Yucca Mountain Site Characterization Project Technical Data Base	AP-5.2Q, Rev. 3	Dyer
	o Information Flow Into the Project Reference Information Base	AP-5.3Q, Rev. 1	Dyer
	o Test Planning and Implementation Requirements	AP-5.32Q, Rev. 2, ICN 1,2&3	Dyer

* Procedure Prepared by the OCRWM Office of Qualtiy Assurance

YMPO
AUDIT COMMAND CENTER
OPERATIONS

QA AUDIT No. YMP-92-24
CONFERENCE ROOM SCHEDULE

MONDAY/September 28, 1992

YMP Large Conference Room 202

Pre-Audit Conference	9:00 a.m. - 10:00 a.m.

YMP Small Conference Room 203

YMPO Audit Command Center	10:00 a.m. - 4:30 p.m.
YMPO Audit Review Meeting	4:30 p.m. - 5:30 p.m.

TUESDAY/September 29, 1992

YMP Small Conference Room 203

Audit Team/YMPO Management (Coordinate Daily Schedule and Discuss Potential Deficiencies)	8:00 a.m.
YMPO Audit Command Center	8:00 a.m. - 4:30 p.m.
YMPO Audit Review Meeting	4:30 p.m. - 5:30 p.m.

WEDNESDAY/September 30, 1992

YMP Small Conference Room 203

Audit Team/YMPO Management (Coordinate Daily Schedule and Discuss Potential Deficiencies)	8:00 a.m.
YMPO Audit Command Center	8:00 a.m. - 4:30 p.m.
YMPO Audit Review Meeting	4:30 p.m. - 5:30 p.m.

THURSDAY/October 1, 1992

YMP Small Conference Room 203

Audit Team/YMPO Management (Coordinate Daily Schedule and Discuss Potential Deficiencies)	8:00 a.m.
YMPO Audit Command Center	8:00 a.m. - 4:30 p.m.
YMPO Audit Review Meeting	4:30 p.m. - 5:30 p.m.

FRIDAY/October 2, 1992

YMP Small Conference Room 203

Audit Team/YMPO Management (Coordinate Daily Schedule and Discuss Potential Deficiencies)	8:00 a.m.
YMPO Audit Command Center	8:00 a.m. - 11:30 a.m.

YMP Blue Conference Room 7

Post-Audit Conference	2:00 p.m. - 3:00 p.m.

AUDIT DEBRIEF FUNCTIONS

AUDIT DEBRIEF FUNCTIONS

- **TIMING**
  - AS SOON AS REASONABLY POSSIBLE REPORT INFORMATION TO THE DEBRIEFERS IN THE AUDIT COMMAND CENTER (TELEPHONE NUMBER: 794-7921)

- **TYPES OF INFORMATION REQUIRED**
  - AUDIT DEBRIEF FORM IS USED TO RECORD PERTINENT INFORMATION

- **INDIVIDUALS PERFORMING DEBRIEFING**
  - DOE (M. BLANCHARD, R. BARTON)
  - SAIC (J. ESTELLA, R. HELMS)

AUDIT DEBRIEF

No. _____

Date of Debrief: _____ Time: _____

Date of Audit involvement by Debriefee: _____ Time: _____

Debriefee:

Auditor(s):

Accompanying Observer(s):

Summarize Discussions by Subject:

Strengths Identified by the Audit Team:

Concerns/Weakness/Findings Identified by the Audit Team:

Recommendations from the Auditors or Observers:

Perception of Conclusions Formed by the Auditors/Observers:

Debriefer: _____

COORDINATION OF CORRECTIVE ACTION FOR POTENTIAL CONCERNS

COORDINATION OF CORRECTIVE ACTION FOR POTENTIAL CONCERNS

- POTENTIAL CONCERNS IDENTIFIED DURING DEBRIEFING INTERVIEWS AND DISCUSSIONS WITH AUDIT TEAM LEADER/AUDITORS

- LINE ORGANIZATION RESPONSIBLE FOR DEVELOPING CORRECTIVE ACTION PLAN AND COORDINATION OF ACTIVITIES THROUGH THE AUDIT COMMAND CENTER

- DAILY STATUS BRIEFINGS AT 4:30 P.M. IN AUDIT COMMAND CENTER TO REVIEW PROGRESS IN RESOLVING POTENTIAL CONCERNS

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

AUDIT/SURVEILLANCE
NO YMP-92-24

QUALITY ASSURANCE CHECKLIST

ORGANIZATION EVALUATED	[ ] EXTERNAL	[x] AUDIT	PREPARED BY John S. Martin DATE 9/16/92
YMPO	[x] INTERNAL	[ ] SURVEILLANCE	
DATES OF EVALUATION			
9/28/92 to 10/2/92			
CONTROLLING DOCUMENT (Title, Number, Revision)			ACTIVITY EVALUATED

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
I	CRITERIA 3		
II	CRITERIA 4		
III	CRITERIA 5		
IV	CRITERIA 6		
V	CRITERIA 7		
VI	CRITERIA 15		
V11	CRITERIA 17		
VIII	CRITERIA 19		
IX	CRITERIA 20		

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

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

AUDIT/SURVEILLANCE
NO YMP-92-24

QUALITY ASSURANCE CHECKLIST (continuation sheet)

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

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	PROCESSING CHANGE REQUESTS		
3-1	QMP-03-09, REVISION 3, STEP 1 Verify the CCB Secretary determines the type of Change Document as a DCP or Directive; or as a CR or C/SCR; or as a modified CR		
3-2	QMP-03-09, REVISION 3, STEP 1 (A) Verify that if the Change Document is a DCP or Directive, the CCB Secretary enters receipt information into the CIS using the number assigned by the PCCB Executive Secretary		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-3	QMP-03-09, REVISION 3, STEP 1 (B) Verify that if the Change Document is a CR or C/SCR, the CCB Secretary assigns a tracking number to the Change Document and enters receipt information into the CIS		
3-4	QMP-03-09, REVISION 3, STEP 1 (C) Verify that if the Change Document is a modified CR, the CCB Secretary assigns a Change Request Modification number to the CR form and receipt information is recorded into the CIS		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	REVIEWING CHANGE DOCUMENTS		
3-5	QMP-03-09, REVISION 3, STEP 2 Verify the CCB Secretary obtains from the CCB Chairperson: a. Desired method for Change Document Evaluation b. Impact Analysis requirements c. Designated review organizations		
3-6	QMP-03-09, REVISION 3, STEP 3 Verify, if additional Participant Evaluation is required, that the Change Document review, analysis assessment, and additional studies by affected Participants is requested via AP-3.3Q (when the document is a CR, DCP or Directive)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3-7	QMP-03-09, REVISION 3, STEP 4 Verify that, if no additional evaluation is required, the CCB Secretary prepares a Change Document Package and provides a copy to each CCB member for evaluation		
3-8	QMP-03-09, REVISION 3, STEPS 4 (A-E) Verify that the Document Change Package includes as a minimum: a. A copy of the Change Request (i.e. CR, C/SCR, DCP, or Directive) b. Copies of all reviews, analyses, assessments & studies including supporting documentation c. A copy of the Change Evaluation (CE) Form (Attachment 1) d. A schedule for completion of the evaluation, if applicable e. A schedule of review meetings for the CCB, if applicable		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	REVIEWING CHANGE DOCUMENT PACKAGES		
3-9	QMP-03-09, REVISION 3, STEP 5 Verify that the CCB members evaluate the Change Document Package and complete the CE Form in accordance with the CE Form instructions (Attachment 1)		
3-10	QMP-03-09, REVISION 3, STEP 6 Verify that the CCB members return the Change Document Package and the CE to the CCB Secretary by the scheduled completion date.		
3-11	QMP-03-09, REVISION 3, STEP 8 Verify that the CCB Secretary prepares the Change Evaluation Summary (CES) Form (Attachment 2) in accordance with instructions provided. after consolidation of the CCB members CE forms.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3-12	QMP-03-09, REVISION 3, STEP 9 Verify the CCB Secretary prepares the Change Directive (CD) Form in accordance with the instructions provided with the form (Attachment 3)		
3-13	QMP-03-09, REVISION 1, STEP 9 Verify the CCB Secretary presents the Change Document Package to the YMP QA Division Director and CCB Chairperson for signature (on the CD form; Attachment 3).		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-14	QMP-03-09, REVISION 1, STEP 9 Verify the Change Document Package contains as appropriate: a. Copy of the Change Document and any supporting documentation (reviews, analyses, studies) b. CE forms prepared by the CCB members c. The Change Evaluation Summary (CES) form prepared by the CCB Secretary d. The Change Directive drafted by the CCB Secretary and signed by the Director, YMQAD		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	DISPOSITIONING CHANGE DOCUMENT PACKAGES		
3-15	QMP-03-09, REVISION 3, STEP 10 Verify the CCB Chairperson reviews the Change Document Package, records the disposition on the Change Directive Form in accordance with the instructions attached to the form and returns the Change Document Package to the CCB Secretary		
3-15A	QMP-03-09, REVISION 3, STEP 11 Verify the following, if the Change Document is a DCP received from the ADGD: a. Attachment 2 of DOE/RW-0223 (DCP) Evaluation Form is completed in accordance with CCB instructions. b. The DCP Evaluation Form is returned to the ADGD c. The CIS is updated to reflect the current status of the Change Document		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	PROCESSING CHANGE DIRECTIVES		
3-16	QMP-03-09, REVISION 3, STEP 12 Verify the Change Directive is dispositioned as disapproved, approved with conditions, and approved with change classification as 0, 1, 2, or 3		
3-17	QMP-03-09, REVISION 3, STEP 12 (A) Verify that copies of disapproved Change Directives are sent to affected participants by the CCB Secretary		
3-18	QMP-03-09, REVISION 3, STEP 12 Verify that if the Change Document is a PCCB issued Directive, the Change Document is processed in accordance with OCRWM Program Change Control Procedure, by the CCB Secretary		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-19	QMP-03-09, REVISION 3, STEP 12 (B) Verify if the Change Directive is approved with conditions, that: a. The CCB Secretary coordinates condition resolution with responsible Participants, and b. The CCB Secretary ensures entry of the condition resolution requirements into the Hold Status System, if directed by the Change Directive		
3-20	QMP-03-09, REVISION 3, STEP 12 (C) Verify if the Change Directive is an approved Class 1 CR or C/SCR, that the CCB Secretary completes the DCP Form of RW/0223 and submits this Form to ADGD for further processing		
3-21	QMP-03-09, REVISION 3, STEP 12 (D) Verify if the Change Directive is an approved Class 2 CR or PCCB issued Directive, that the Change Document Package is sent to affected TPOs/DDs for change implementation		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-22	QMP-03-09, REVISION 3, STEP 13 Verify the CCB Secretary coordinates the modification to the YMP CCB controlled documents		
3-23	QMP-03-09, REVISION 3, STEP 14 Verify the CCB Secretary submits modified CCB controlled documents including the DCN (Attachment 4), to the Document Control Center		
3-24	QMP-03-09, REVISION 3, STEP 15 Verify the CCB Secretary updates the Configuration Information System (CIS) to reflect the current status of the Change Directive		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	CHANGE REQUEST CLOSURE		
3-25	QMP-03-09, REVISION 3, STEP 16 (A) Verify the CCB Secretary performs the following actions upon completion of the required change actions: a. Ensures that delegation of authority is on file for the Change Control documentation and is also attached to the Records Package prior to submittal b. Updates the CIS to reflect the current status of the Change c. Notifies all affected Participants that the Change has been dispositioned d. Prepares and submits the Records Package to the LRC		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	CHANGE REQUEST INITIATION		
3-26	AP-3.3Q, REVISION 4, STEP 1 Verify that when a DD identifies a need for a change (other than to modify or cancel an existing change), the Change Request Form (Attachment 1) is completed in accordance with form instructions		
3-27	AP-3.3Q, REVISION 4, STEP 2 Verify the DD performs an initial impact assessment of the proposed change and completes the Change Impact Checklist (Attachment 1, page 2) in accordance with the form instructions		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3-28	AP-3.3Q, REVISION 4, STEP 4 (B) Verify the DD submits the Change Request along with the Change Impact Checklist to the YMP CCB Secretary (if the Change Request is a Class 0, 1, or 2 Change)		
3-29	AP-3.3Q, REVISION 4, STEP 5 (B) Verify that if the Change Request is complete, the CCB Secretary processes the CR per QMP-03-09		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	REVIEW, ANALYSIS, AND ASSESSMENT BY AFFECTED ORGANIZATIONS		
3-30	AP-3.3Q, REVISION 4, STEP 8 Verify that the CCB Secretary requests and receives the Change Request Reviews, Studies and Analyses from the Affected Organizations		
	CHANGE DIRECTIVE IMPLEMENTATION BY AFFECTED PARTICIPANTS		
3-31	AP-3.3Q, REVISION 4, STEP 9 Verify the DD transmits changes disapproved by the CCB, to the CCB Secretary for closure		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3-32	AP-3.3Q, REVISION 4, STEP 9 Verify the DD implements changes approved by the CCB by the DD taking the following actions: a. Complying with the conditions noted on the Change Directive b. Completing applicable portions of the Affected Document Notice (Attachment 5) c. Initiate document development in accordance with governing procedures (i.e. AP-1.5Q; QMP-06-04, QAP 5.1)		
3-33	AP-3.3Q, REVISION 4, STEP 10 Verify the DD returns the completed ADN to the CCB Secretary to commence change implementation activities		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	CHANGE REQUEST CLOSURE		
3-34	AP-3.3Q, REVISION 4, STEP Verify the CCB Secretary initiates closure of the change implementation upon completion of all activities		
	CHANGE REQUEST MODIFICATIONS OR CANCELLATION		
3-35	AP-3.3Q, REVISION 4, STEP 12 Verify that the DD notifies the CCB Secretary of a modification, including cancellation, of a pending Change Request		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3-36	AP-3.3Q, REVISION 4, STEP 12 (A) Verify if the Change Request has been dispositioned by the CCB, the DD initiates a new Change Request		
3-37	AP-3.3Q, REVISION 4, STEP 12 (B) Verify that if the Change Request has not been dispositioned by the CCB and a modification to the CR is required, the DD prepares a modified CR and Change Impact Checklist		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-38	AP-3.3Q, REVISION 4, STEP 12 (C) Verify that if the Change Request has not been dispositioned by the CCB and cancellation of the CR is required, the DD prepares and submits a memorandum to the CCB Secretary, requesting cancellation of the CR		
3-39	AP-3.3Q, REVISION 4, SECTION 8 Verify that the Change Document Package includes the Change Request and the Change Impact Checklist from this procedure		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-40	FIELD CHANGE CONTROL AP-3.5Q, REVISION 1, STEP 1 Verify that when a change needs to be made to a document(s) in the Job Package (JP), that the Project Office determines the change is under the control of the FCCB.		
3-41	AP-3.5Q, REVISION 1, STEP 3 Verify that the initiator of the change completes Section 1 of the FCR form, and indicates the specific change(s), (including page, section, and paragraph) with attached markups, if appropriate.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-42	AP-3.5Q, REVISION 1, STEP 3 (A) Verify that Configuration Management assigns and places corresponding FCR designators for each change bar marked in the right margin of the field changes made to JPs.		
3-43	AP-3.5Q, REVISION 1, STEP 3 (B) Verify the FCCB Secretary incorporates the changes into the documentation and provides updates to the FCR History placed immediately following the Title page of the JP.		
3-44	AP-3.5Q, REVISION 1, STEP 3 (B) Verify that AP-3.5Q has an Attachment 5.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-45	AP-3.5Q, REVISION 1, STEP 4 (A) Verify that the Participant (Project Office) initiating the change performs an internal technical evaluation of the change per the requirements of Attachment 4, if the change is scientific, engineering, or quality affecting.		
3-46	AP-3.5Q, REVISION 1, STEP 6 Verify the results of the technical evaluation is documented in Section II of the FCR (Item 12).		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	• RESULTS
3-47	AP-3.5Q, REVISION 1, STEP 4 (B) Verify that changes marked as "Minor" are minor changes (as defined by paragraph 3.7) and are authenticated by the FCCB Secretary.		
3-48	AP-3.5Q, REVISION 1, STEP 7 Verify the DD (or Designee) a. Signs Section II of the FCR b. Attaches the evaluation sketches or other supporting documentation to complete the FCR c. Transmits originals to the FCCB Secretary and a copy to the Site Manager.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3-49	AP-3.5Q, REVISION 1, STEPS 8, 9, & 10 Verify the FCCB Secretary: a. Assesses change classification b. Reviews FCR for completeness c. Assigns and FCR number to the change document		
3-50	AP-3.5Q, REVISION 1, STEP 11 NOTE Verify that appropriate individuals perform evaluations as stipulated herein: a. Field QA representative evaluates quality-affecting activities (changes) b. DD for EDD evaluates Field changes to design & design-related activities c. DD for RSED evaluates Field Changes that affects scientific activities (SEE STEP 9 OF THE FCR FORM)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3-51	AP-3.5Q, REVISION 1, STEP 12 Verify the FCCB Secretary prepares the FCR Change Documentation Package and provides this to designated evaluators. (including blank copies of the Change Evaluation form)		
3-52	AP-2.5Q, REVISION 1, STEP 13 Verify that YMPO Evaluators document their evaluations on the Change Evaluation Form (Attachment 2) and provides the signed CE to the FCCB Secretary.		
3-53	AP-3.5Q, REVISION 1, STEPS 15-18 Verify that the appropriate signatures are entered into Section III of the FCR form, including the QA Field Representative and the FCCB Chairman.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-54	AP-3.5Q, REVISION 1, STEPS 19-23 Verify the FCCB Secretary: a. Returns incomplete FCR's to the initiating organization b. Sends disapproval letter to initiating organization, if FCR is disapproved c. Records disposition of FCR in Tracking Log d. Completes Section IV of FCR and forwards to DRC for distribution (for approved FCRs)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-55	AP-5.20Q, REVISION 0, PARAS. 5.1, 5.1.2, THRU 5.1.4 Verify DDs identify HOLDS, as applicable and that the HOLD DESCRIPTION FORM is properly completed.		
3-56	AP-5.20Q, REVISION 0, PARA. 5.1.5 Verify, for HOLD change, the DD resubmits the HOLD DESCRIPTION FORM, with supporting documentation, to the HOLD STATUS Coordinator.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-57	AP-5.20Q, REVISION 0, PARA. 5.2.1 Verify the Hold Status Coordinator (T&MSS) assigns a unique identifier to each document containing one or more HOLDS and a series of incremental numbers for each HOLD identified in the document when requested.		
3-58	AP-5.20Q, REVISION 0, PARA. 5.2.2 Verify when the HOLD Description Form is received or generated by the DD, a copy is sent to the Hold Status Coordinator in the Configuration Management Organization.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-59	AP-5.201, REVISION 0, PARA. 5.2.3 Verify that the following information is placed in the Document Hold System: 1. HOLD Identifier 2. Document Number 3. Identification of the subject of the Hold 4. Scheduled Completion Date 5. Participant having Hold release action responsibility		
3-60	AP-5.20Q, REVISION 0, PARA. 5.2.5 Verify the Hold Status Coordinator issues to the DDs/TPOs, a monthly Hold Status Report.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-61	AP-5.20Q, REVISION 1, PARA. 5.2.5 Verify the Hold Status Report contains the following information: 1. Hold Identifier 2. Document Number 3. Hold Release Action Responsibility 4. Scheduled Completion Date 5. Current Forecasted Completion Date 6. Listing of impending Holds due for release 7. Status of overdue HOLDS		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3-62	AP-3.6Q, REVISION 0, PARA. 5.1.1 Verify that the cover sheet, revision record page, or revision control block of issued baseline documents identifies: 1. Issuing Organization 2. Document Identifier 3. Revision Identifier 4. Configuration Item Number (as applicable) 5. Issue Date		
3-63	AP-3.6Q, REVISION 0, PARA. 5.1.2 Verify that interface control documentation is used to identify interfaces between CIs and specifies the primary responsibility for coordination between participants and/or government agencies.		
3-64	AP-3.6Q, REVISION 0, PARA. 5.1.2 Verify that Interface Control Documents (ICDs) are controlled documents.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-65	AP-3.6Q, REVISION 1, PARA. 5.1.2.1 Verify that interface identification is described in the specification or drawing for the CI, and includes functional and physical interface characteristics between the CI, other CIs and major components within the CI.		
3-66	AP-3.6Q, REVISION 1, PARA. 5.1.2.1 Verify the ICDs reference the applicable CI number(s), document number(s) and affected participants.		
3-67	AP-3.6Q, REVISION 1, PARA. 5.1.3 Verify that the technical baseline documents provide for identifying like and related requirements (functional, technical, design, and product). This action will establish traceability of requirements through all levels of the Project Baseline documentation, and to their CIs.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3-68	AP-3.6Q, REVISION 1, PARA. 5.1.3.1 Verify that TBD Data is listed and tracked in a TBD Log contained in the document and includes: 1. The scheduled resolution 2. Name and organization responsible for the resolution 3. Section or paragraph of the affected document(s)		
3-69	AP-3.6Q, REVISION 1, PARA. 5.1.3.2 Verify that data that has not been (1) verified or (2) validated per NUREG 1298 or (3) is dependent on software that has not been validated is: identified and tracked in the same manner as TBD data.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	AP-3.6Q, REVISION 1, PARA. 5.1.4		
3-70	Verify that traceability is established between CI numbers and associated documents (through internal references within the documents or through the CI cross-reference index).		
3-71	AP-3.6Q, REVISION 1, PARA. 5.1.4 & APPENDIX A.2.1 Verify that a unique CI number is assigned to each item entered in the Project Baseline.		
3-72	AP-3.6Q, REVISION 1, APPENDIX A, A.2.1 Verify that each technical document references all CI numbers that the document describes.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3-73	AP-3.6Q, REVISION 1, APPENDIX A, A.2.2 Verify that CI numbers are assigned by the CMO to the physical breakdown structure as described in the Project Technical Baseline.		
3-74	AP-3.6Q, REVISION 1, APPENDIX A, A.2.3.1.1 Verify that a unique control number is assigned by the CMO, to each CR following approval.		
3-75	AP-3.6Q, REVISION 1, APPENDIX A, A.2.3.1.2 Verify that the CR number is applied to both the CR and the documentation by which the change is described and supported.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	CONFIGURATION CONTROL		
3-76	AP-3.6Q, REVISION 1, PARA. 5.2.1.3 Verify that the M&O Configuration Management organization assembles and displays tracking information about proposed changes and approved CRs.		
3-77	AP-3.6Q, REVISION 1, PARA. 5.2.1.4 Verify that the Project Office Managers manage change implementation as called for in a Project CCB Change Directive.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	CONFIGURATION STATUS ACCOUNTING		
3-78	AP-3.6Q, REVISION 1, PARA. 5.3.1.1 Verify that the Configuration Information System (CIS) provides the ability to: 1. Identify current approved Technical Baseline Documentation 2. Identify all proposed changes to the Technical Baseline Documentation 3. Identify in an ICD cross-reference index, relationships between engineering documents that are defined by Level C ICD. 4. Identify in a CI cross-reference index, all configuration identification documents that describe a CI and all controlled data that affects a CI.		
3-79	AP-3.6Q, REVISION 1, PARA. 5.3.2.1 Verify that the M&O CMO provides a monthly report of the status of CRs to the DDs and Participant TPOs.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-80	AP-3.6Q, REVISION 1, PARA. 5.3.2.1 Verify that the monthly CR Status Report contains the following information: 1. CR Identification 2. Descriptive Title of the CR 3. Individual and Organization originating the CR 4. Project configuration identification documents affected by the proposed change. 5. CI(s) affected by the proposed change. 6. Current status of the proposed change (e.g. approved, disapproved, evaluation) 7. Subsequent action required on the proposed change 8. Individual or organization responsible for required subsequent action		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3-81	AP-3.6Q, REVISION 1, PARA. 5.3.2.2 Verify that the M&O CMO provides periodic operational reports of the status of CIs and associated documents in the Project CCB Register to Project Office and TPOs.		
3-82	AP-5.24Q, REVISION 0, STEP 5 Verify that the CCB receives as-built drawings and specifications from the affected participant, for incorporation into the Technical Baseline.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-83	AP-5.24Q, REVISION 0, STEP 5 (NOTE) Verify the CCB notifies the A/E of CCB's acceptance of as-built drawings and specifications.		
3-84	AP-5.24Q, REVISION 0, STEP 5 (NOTE) Verify, after CCB acceptance, the CCB Secretary sends as-built drawings and specifications to the LRC and the DRC.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-85	AP-5.19Q Verify that an interface control process is in place to control Level C and D interfaces for configuration management.		
3-86	AP-5.19Q, REVISION 2, STEP 2 Verify that the Processor determines if the interface is physical or it is organizational.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-87	AP-5.19Q, REVISION 2, STEP 4 Verify, if the interface is organizational: 1. An IMOU is initiated 2. The Processor assigns an interface control number		
3-88	AP-5.19Q, REVISION 2, STEP 5 Verify, if the interface is designated as physical: a. A PIRN is initiated b. Engineering data supporting the PIRN is documented on the appropriate interface document (CID;SID) c. The engineering data is attached to the PIRN d. The Processor provides an identifier number and an ICD drawing number(s) to the Data Requester.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
3-89	AP-5.19Q, REVISION 2, STEP 6 (A) & (C) Verify the Processor processes the IMOU and/or PIRN package by: a. Reviewing for WBS b. Entering information into the CIS c. Sending copies of IMOU and/or PIRN to evaluators		
3-90	AP-5.19Q, REVISION 2, STEPS 10, 12, 15 Verify the Processor both before and after data acceptance by the Data Requester: a. Sends IMOU to LRC and distribution b. Updates the CIS (If no impact on other documents, stop the process)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	ORGANIZATIONAL INTERFACES AFFECTING OTHER DOCUMENTS		
3-91	AP-5.19Q, REVISION 2, STEP 18 Verify, that when the interface affects other documents, the ICWG Chairperson requires appropriate documentation to be initiated by the Data Requester.		
3-92	AP-5.19Q, REVISION 2, STEP 19 Verify, that if a change is required to a document, as a result of document interfaces being affected, that a Change Request Form is initiated in accordance with AP-3.3Q.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	PHYSICAL INTERFACES		
3-93	AP-5.19Q, REVISION 2, STEPS 25 - 27 Verify that when a PIRN results in a change (per AP-3.3Q) and the change is approved, the CCB: a. Obtains the IRN number b. Transcribes the number on the IRN c. Sends IRN to LRC d. Updates the CIS		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	ORGANIZATIONAL INTERFACES WITH UNACCEPTABLE DATA		
3-94	AP-5.19Q, REVISION 2, STEPS 34 & 41 Verify, when unacceptable interface data or interfaces with unresolved issues exist, the ICWG Chairperson: a. Schedules the issue through the CCB Secretary b. Presents the issue and recommendations to the CCB for disposition.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	The following questions are taken from YMP/CC-0009, Rev. 4		
	SECTION 4.1, 1st PARAGRAPH		
3-95	Verify that design input documentation is:		
	a. specified		
	b. controlled, and		
	c. approved		
	d. on a timely basis, and		
	e. to the level of detail necessary to permit the design activity to be carried out in a correct manner and		
	f. to provide a consistent basis for making design decisions accomplishing design verification measures and evaluating design changes		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	SECTION 4.1, 2nd PARAGRAPH		
3-96	Verify that the design organization has notified the Project Office that it approves the design requirements.		
	SECTION 4.1.2, 3rd PARAGRAPH		
3-97	Verify how selected outputs from the design process are approved by the Project Officer for placement in the RIB.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
3-98	Verify how it is determined which database (GEMBOCKS, GENISES, SEPDB, RIB) to place design outputs in. (What are the criteria?)		
	SECTION 4.2.1		
3-99	Verify how interface drawings are entered into the RDR, WPDR, and ESFDR.		
	SECTION 4.2.3, 2nd PARAGRAPH		
3-100	Verify how the Project Office approves the Industrial Safety Analysis Report.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	SECTION 4.3.1 (BTP-EDD-002)		
3-101	Verify how the following reviews are performed: a. Design Review b. Technical Assessment Review c. Technical Review d. Readiness Review e. Design Verification Review f. Management Review g. Peer Review h. Quality Assurance Review i. Regulatory Review		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	SECTION 4.3.2		
3-102	Verify that the DOE Director signs and dates all design output documents.		
	SECTION 4.3.3		
3-103	Verify that the Director, ED&D signs and dates design output documents intended for use in construction activities.		
	BTP-EDD-002, REV. 1		
3-104	Verify that reviews to design documents are completed for BTP-EDD-002 prior to acceptance by DOE.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	YMPO PROCUREMENT ACTIONS		
4-1	QMP-04-02, REVISION 0, ICN 1, PARA. 1.2 Identify all new or modified procurements for services that have taken place since last YMP Audit (May 1992).		
4-2	QMP-04-02, REVISION 0, ICN 1, SECTION 5, STEP 2 Have procurements for services been subject to an evaluation in accordance with AP-6.17Q (determination of the importance of Items and Activities) prior to the procurement? Have procurements of services been subjected to QA Grading in accordance with A-5.28Q prior to the procurement?		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	FEDERAL PROCUREMENT PROCESS		
4-3	QMP-04-02, REVISION 0, ICN 1, SECTION 5, STEPS 13, 14, 15 & 16 Were bid evaluations performed by the DD and were these evaluations forwarded to the Contracting Officer's technical representative in the form of an Executed Procurement Agreement (EPA)?		
4-4	QMP-04-02, REVISION 0, ICN 1, SECTION 5, STEP 18 Verify that the Director of QA, and cognizant Division Director review the EPA to ensure that the EPA and the related procurement request package are in concert.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
4-5	QMP-04-02, REVISION 0, ICN 1, SECTION 5, STEP 19 Verify that if the EPA is determined to be adequate, the cognizant Division Director forwards a memo to the Contracting Officers Technical Representative (COTR) recommending issuance of a notice for the supplier to proceed with the work scope of the EPA. Verify that technical concerns are documented in a letter to the COTR for resolution in accordance with Step 17 of Section 5.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4-6	QMP-04-02, REVISION 0, ICN 1, SECTION 5, STEP 20 Verify that if the supplier is listed on the current Qualified Suppliers List, and if the DQA review in Section 5, Step 18 determines that the EPA is acceptable, the DQA forwards a memo to the COTR recommending issuance of a notice for the supplier to proceed with the work scope of the EPA. If the supplier is not listed on the current QSL, the DQA will notify the COTR in writing to arrange for the supplier to be evaluated in accordance with QMP-07-04. If the results of the DQA review indicates that the EPA is unacceptable, the DQA will document the QA concerns in a memo to the COTR, stating that the QA concerns shall be resolved per Section 5, Step 17.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
4-7	QMP-04-02, REVISION 0, ICN 1, SECTION 5, STEP 21 Verify that upon successful qualification of the supplier, the DQA has the supplier added to the QSL per QMP-07-04.		
4-8	QMP-04-02, REVISION 0, ICN 1, SECTION 5, STEP 22 Verify that if a supplier cannot be qualified per QMP-07-04, the cognizant Division Director will document this concern in a memo to the COTR, so that work may not proceed until the supplier is qualified per QMP-07-04.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4-9	QMP-04-02, REVISION 0, ICN 1, SECTION 5, STEP 25 Verify that the COTR forwards a copy of the Procurement Request Package, related procurement plan, EPA, and all associated memos, letters, and notices to the Project and Operations Control Division who transmits the documents to the LRC in accordance with QMP-17-01.		
	VERIFICATION OF SERVICE		
4-10	QMP-04-02, REVISION 0, ICN 1, SECTION 5, STEP 26 Verify that the DQA and cognizant DD ensure that verification activities are performed of the service being provided (Audits, Surveillances, or Project Office Document Reviews).		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
4-11	QMP-04-02, REVISION 0, ICN 1, SECTION 5, STEP 27 Verify that upon receipt of supplier generated documents required by the EPA, the COTR routes them to the cognizant Project Office organization for information, review and/or approval evaluations are documented.		
	ACCEPTING SERVICES		
4-12	QMP-04-02, REVISION 0, ICN 1, SECTION 5, STEP 28 Verify that the cognizant Division Director and DQA determine the acceptability of the service being provided or completed, and include in resulting documentation, a statement as to whether the service has been determined to be acceptable.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4-13	QMP-04-02, REVISION 0, ICN 1, SECTION 5, STEP 29 Verify that Project Operations & Control Division transmits the following documents (QA records) to the LRC: Procurement Request Packages Executed Procurement Agreements Memos Notices to Proceed Surveillance/Audit Reports Non-Conformance Reports All related correspondence		
	TECHNICAL DIRECTIVES		
4-14	QMP-04-03, REVISION 0, SECTION 5, STEP 1 Verify that the cognizant Division Director assigns a TD author to prepare a Technical Directive form.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	PREPARATION		
4-15	QMP-04-03, REVISION 0, SECTION 5, STEP 2 Verify that the TD author develops a TD to establish or change, as appropriate, procurement quality requirements relating to quality-affecting work that is being or will be performed.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
4-16	QMP-04-03, REVISION 0, SECTION 5, STEP 2 (cont'd) Verify that the TD form includes the following: a. ID number b. WBS number c. Reference to latest edition of the YMP Q-List or QAL, and WBS number d. QA Grading Package identification number e. Identification of QA program applicable to work being performed f. Statement of specific scope of work g. Technical requirements and acceptance criteria for services provided h. QA program requirements i. The right of YMPO, or YMPO designated parties access to the responsible supplier's facilities and records for verification, such as Surveillance or Audit j. Documentation requirements k. Requirements for reporting Non-Conformances		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	TECHNICAL DIRECTIVES		
4-17	QMP-04-03, REVISION 0, SECTION 5, STEP 3 Verify that the TD author obtains the next available TD identification number from the YMQAD, and enters it on the TD.		
	REVIEW		
4-18	QMP-04-03, REVISION 0, SECTION 5, STEPS 6 - 13 Verify that personnel performing the TD reviews shall be qualified per QMP-02-01 and have an adequate understanding of the requirements and intent of the TD. Verify that the reviewers sign and date the TD to indicate concurrence with the adequacy, completeness, and correctness of the technical and QA aspects of the TD. Verify that the YMP Project Manager signs and dates the approved TD to indicate approval and returns it to the cognizant DD for transmittal to the responsible supplier.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	RECORDS		
4-19	QMP-04-03, REVISION 0, SECTION 5, STEP 14 Verify that a copy of the approved TDs is forwarded to the LRC per AP-1.18Q, Records Management.		
	FIELD WORK ACTIVATION - INITIATION		
4-20	AP-5.21Q, REVISION 3, ICN 1, SECTION 5, STEP 1 Verify that the Division Director completes Section I of the Job Package Initiation Form and forwards it to the Project Control Branch.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	JOB PACKAGE PREPARATION		
4-21	AP-5.21Q, REVISION 3, SECTION 5, STEPS 2 - 10 Verify that the Project Control Branch assigns a unique number to the Job Package, selects a JPC, completes Section II of the Job Package Initiation Form, updates the Job Package Log, and distributes information copies of the Job Package Initiation Form to responsible DD, DQA & SM. The PCB also directs the JPC to prepare a Job Package outline, and provides JPC with the Initiation Package.		
4-22	AP-5.21Q, REVISION 3, SECTION 5, STEPS 2 - 10 (cont'd) Verify that the JPC prepares a Job Package Outline, using the Initiation Package & Job Package Guidelines provided by the PCB, coordinates the collation of package information with the affected TPOs and DDs and keeps PCB informed of progress. Verify that the PCB reviews the Job Package, and directs JPC to resolve concerns, and returns Job Package to JPC.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	JOB PACKAGE APPROVAL		
4-23	AP-5.21Q, REVISION 3, SECTION 5, STEPS 11 - 20 Verify that the JPC prepares the Job Package Approval Form, attaches approval form to Job Package, coordinates approval signatures, and submits Job Package to YMP Manager for approval. Verify that the PCB prepares Notice to Proceed and submits to YMP Manager for approval, submits records package to the YMPO LRC, submits approved Job Package to YMSO DRC for distribution to PCB and SM. Verify that the SM directs Field Operation Center Staff to review Job Package, prepares and approves a cover letter authorizing Participants to commence assigned field work, and submits the Job Package with cover letter to the YMSO DRC for distribution to all affected Participants, responsible TPOs,the Site Office Plan room, the SM and responsible DDs.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	SUPPLIER EVALUATION/QUALIFIED SUPPLIERS LIST		
4-24	QMP-07-04, REVISION 2 Identify all new or modified YMP procurements for services that have taken place since the last YMP audit, May 1992. NOTE: If the answer to this question is none, disregard questions related to this QMP.		
4-25	Verify that the Contracting Officer Technical Representative has fulfilled his or her duties in accordance with QMP-07-04.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	QMP-06-04, REVISION 4, PROJECT OFFICE DOCUMENT DEVELOPMENT, REVIEW, APPROVAL, REVISION AND PROCESSES		
5-1	Para. 5.2 and QAP 3.5, Rev. 2, Technical Document, Para. 5.1.2 or QAP 5.1, Rev. 4, QA Program, Para. 5.1.2 PCB. Assemble and forward a request package, Action Request Form, Document Action Initiation Form, attached document, and/or supporting material to the responsible DD. Verify that a request package is prepared that includes the following: a) Action Request Form, b) Document Action Initiation Form, c) attached document, d) supporting material.		
5-2	Para. 5.8, Note, 1st sentence or QAP 3.5, Rev. 2, Para. 6.1.1 or QAP 5.1, Rev. 4, Para. 6.2.1 SME. No more than 3 ICNs can be posted against any document. Verify that there are no more than 3 ICNs posted against any document.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
5-3	Para. 5.1.4 or QAP 6.2, Rev. 0, Para. 5.2 Reviewer(s). "...number and record any comments, including page, paragraph, step or other identifier (place an asterisk adjacent to each major comment) on DRS(s) or enter NO Comments in the Review Comments column; sign an date DRS(s); return review package to PCB on or before the comment due date." Verify that reviewers comply with the above requirements.		
5-4	Para. 5.14, Note Reviewer(s). If a secondary reviewer is assigned to replace a primary reviewer, the primary reviewer or manager of the reviewing organization shall complete Section II of the Document Review Cover Sheet (DRCS). Verify that in the case of secondary reviewers, Section II of the DRCS is filled out.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5-5	Para. 5.21 or QAP 6.2, Rev. 0, Para. 5.3.1 SME. Document responses to all major comments (response to minor comments are recommended but not required) in the Response column of the applicable DRS(s). Verify that all major comments have documented responses in the Response column.		
5-6	Para. 5.24 or QAP 6.2, Rev. 0, Para. 5.3.2 SME. Instruct reviewers to check, accept or reject with initials and date to each major comment response on the DRS(s) to indicate acceptance or rejection of response. (NOTE: An exception in QAP 6.2 and DRS form). Verify that reviewers have accepted or rejected each major comment response on the DRS.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
5-7	Para. 5.24b, Note, 2nd Para., 1st Sentence or QAP 6.2, Rev. 0, Para. 5.3.2 SME. When all major comment responses have been incorporated into the document, instruct the reviewers to sign and date Part D of Section III on the Document Review Cover Sheet. Verify that all comment responses have been incorporated into the document and that the Section III on the Document Review Cover Sheet have been signed and dated.		
5-8	Para. 5.24b, Note, 2nd Para., 2nd Sentence SME. Reviewers with disputed comment responses shall indicate exceptions to those items by entering the comment numbers beneath their signatures in Part D. Verify that reviewers with disputed comments indicate exception by entering the comment numbers beneath their signature in Part D.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
5-9	Para. 5.25 or QAP 6.2, Rev, 0, Para. 5.3.1.c SME. Incorporate comments, including any disputed comment response resolutions, into the draft. Verify that comments are incorporated into the draft.		
5-10	Para. 5.26 or QAP 3,5, Rev. 2, Para. 5.6 (RD) or QAP 5.1, Rev. 4, Para. 5.5 (RD) PCB. Process the document, and obtain SME acceptance of final document prior to submitting for approval. Verify that the SME has accepted the document.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5-11	Para. 5.27 or QAP 3.5, Rev. 2, Para. 5.6 (RD) or QAP 5.1, Rev. 4, Para. 5.5.1 (RD) PCB. "...obtain Training Officer or designee's signature for the number of days required for training." Verify that the Training Department has signed and indicated the amount of training.		
5-12	Para. 5.28, Note or QAP 3.5, Rev. 2, Para. 5.6 (RD) or QAP 5.1, Rev. 4, Para. 5.5.1 (RD) PCB. "Establishment of the effective date shall include training needs as defined on the Approval Sheet,..." Verify that the effective date is after the approvals and provides enough time for training.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	AP-6.1Q, REVISION 3, ICN 1, PROJECT OFFICE DOCUMENT DEVELOPMENT, REVIEW, APPROVAL, CONTROL AND REVISION Para. 5.1		
5-13	Requesting Organization. Determine document need, then complete appropriate sections of the YMP Document Action Request form (Attachment 1). Verify the appropriate sections of the YMP Document Action Request form are complete.		
5-14	Para. 5.9 M&O PPD. If requested action is concurred with, inform the Requesting Organization, then coordinate Project Office document review, approval, and acceptance in accordance with QMP-06-04. If requested action is concurred with, verify that QMP-06-04 has been followed.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
5-15	Para. 5.5 and Attachment 1 Project Office PCB. "If requested action is rejected, document the justification for rejection..." If requested action is rejected, verify that documentation of justification for the rejection is provided on the DAR that is returned to the RO.		
5-16	Para. 5.10, 1st Sentence Requesting Organization. If CCB action is required, resolve and incorporate comments, as required or as instructed. Verify that all comments have been resolved and incorporated in accordance with AP-3.3Q.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	AP-1.5Q, REVISION 6, ISSUANCE AND MAINTENANCE OF CONTROLLED DOCUMENTS Para. 5.4, Note		
6-1	DC. No controlled document can be changed without an approved revision, ICN, or other change document that assures the changes to the controlled document have been reviewed and approved. A CDIA, by itself, is not a change request nor an adequate change document. Verify that changes to controlled documents go through the prescribed review and approval per AP-6.1Q. (NOTE: Examine the data base).		
6-2	Para. 5.9b Document Holder. "If revisions, follow the directions on the transmittal form, including the disposition (i.e., destroy, mark superseded or obsolete or return to the DCC)" Examine Controlled Document sets and verify that they are up-to-date.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
6-3	Para. 5.9b Document Holder. "...sign and return transmittal form by due date." Verify that the transmittal forms are signed and returned to the DCC. AP-1.17Q, REVISION 1, FORMS CONTROL		
6-4	Para. 5, Note, 2nd Sentence Each manual will contain a content list indicating the form's unique identification number, the form's title, revision number, and effective date. Verify that each manual contains a content list with the required information.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
6-5	Para. 5, Note, 3rd Sentence The content list and master controlled copies of forms will be arranged in alphanumeric sequence. Verify that the content list and master controlled copies are arranged in alphanumeric sequence.		
6-6	Para. 5.1 User Organization. Use only forms control manual copies of the latest revision of forms called for in approved APs and Project Office internal procedures (as applicable). Verify that forms in the manual match the forms in the procedures.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
15-1	AP-5.27Q, REVISION 1, CONTROL OF NONCONFORMING ITEMS, PARAGRAPH 6.1 Verify that item deficiencies detected during implementation of AP-5.16Q, Field Technical Compliance, or by individual walk-arounds during characterization, construction, operation, and testing conducted on YMP, are documented and processed in accordance with this procedure.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
15-2	QMP-15-01, REVISION 2, ICN NO. 1, CONTROL OF NONCONFORMANCES, PARAGRAPH 2.0 1. Verify that the YMPO reviews and approves nonconformance reports (NCRs) submitted by Project Participants, Nevada Test Site (NTS) and YMPO support contractors (Contractors) in accordance with this procedure. 2. Verify that YMPO QA personnel initiate and process NCR identified by YMPO personnel in accordance with this procedure.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
17-1	AP-1.18Q, REVISION 1, ICN NO. 1, PARAGRAPH 5.1, "RECORDS MANAGEMENT: LAS VEGAS RECORD SOURCE RESPONSIBILITIES" Verify that the Division Director (DD)/Technical Project Officer (TPO)/YMSO Site Manager (SM) ensures, by review, that design specifications, procurement documents, task plans, test procedures, implementing procedures, instructions, or other documents directing the conduct of quality-affecting activities identify the records and/or records packages to be generated, supplied, or maintained.		
17-2	AP-1.81Q, REVISION 1, ICN NO. 1, PARAGRAPH 5.2 Verify that the DD/TPO/SM ensures that record sources are trained to this procedure and that those individuals are technically qualified before preparing or submitting YMP records to the LRC.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
17-3	AP-1.18Q, REVISION 1, ICN NO. 1, PARAGRAPH 5.3 Verify that the DD/TPO/SM ensures that any YMP records that may be contained in working files are submitted to the LRC when an individual is leaving the YMP or changing jobs.		
17-4	AP-1.18Q, REVISION 1, ICN NO. 1, PARAGRAPH 5.4 Verify that the DD/TPO/SM provides the LRC with a list of personnel authorized to have access to privileged records and update as necessary.		
17-5	AP-1.18Q, REVISION 1, ICN NO. 1, PARAGRAPHS 5.5.a and 5.6 Verify that record sources prepare the individual records in accordance with Appendix A, Pages 13-15, once the records have been identified.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
17-6	AP-1.18Q, REVISION 1, ICN NO. 1, PARAGRAPH 5.5.b Verify that record sources do the following if they have records package segments: 1. Contact the LRC to obtain a records package tracking number. Provide the LRC with the following information: a. A records package title b. A records package identifier c. A Record Source name and organization d. A quality-affecting designation (QA: QA or QA: N/A) e. Configuration item identifier, as applicable 2. Record the tracking number on a Record Source Transmittal form and submit the segment to the LRC in accordance with Appendix D.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
17-7	AP-1.18Q, REVISION 1, ICN NO. 1, PARAGRAPHS 5.5.c AND 5.6 Verify that record sources prepare records package in accordance with Appendix A, Pages 13-15.		
17-8	AP-1.18Q, REVISION 1, ICN NO. 1, PARAGRAPH 5.5.d Verify that record sources prepare the Final Scientific and Technical Reports in accordance with Appendix A, Page 15.		
17-9	AP-1.18Q, REVISION 1, ICN NO. 1, PARAGRAPH 5.7 Verify that record sources protect documents that may become records or records packages in accordance with Appendix B, Page 18.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
17-10	AP-1.18Q, REVISION 1, ICN NO. 1, PARAGRAPH 5.8 Verify that record sources submit the records or records packages to the LRC in accordance with Appendix D.		
17-11	AP-1.18Q, REVISION 1, ICN NO. 1, PARAGRAPH 5.9 Verify that record sources resolve discrepancies with the LRC. Make the necessary corrections as requested, regenerate the record, or refer to Appendix C of this procedure for further guidance on correction of records.		
17-12	AP-1.18Q, REVISION 1, ICN NO. 1, PARAGRAPH 5.10 Verify that Record Sources return the LRC Record Rejection Notice (if received), along with the corrected records, to the LRC by the designated date.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
17-13	AP-1.18Q, REVISION 1, ICN NO. 1, PARAGRAPH 5.11 Verify that record sources notify the LRC of any errors in previously processed records, records package segments, or record packages. Submit the corrected, supplemental, or replacement records in accordance with Appendix C and D of this procedure.		
17-14	AP-1.18Q, REVISION 1, ICN NO. 1, PARAGRAPH 5.8, APPENDIX D Verify that field generated records, including job package records packages, are submitted to the DRC in accordance with AP-6.22Q.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
17-15	AP-6.22Q, REVISION 0, PARAGRAPH 5.1, "JOB PACKAGE COMPLETION AND RECORDS" Verify that Job Package Records Coordinator (JPRC): 1. Prepare records list for Job Package (JP) Records Package. 2. Obtain a records package tracking number from the DRC in accordance with AP-1.18Q.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
17-16	AP-6.22Q, REVISION 0, PARAGRAPH 5.3 Verify that JP Participants: 1. Identify in writing the individuals that may act as records sources or authenticators for the Participant's records package segment to the JPRC if not already identified in the JP. 2. Complete assigned actions leading up to a final inspection point as defined by the A/E's inspection plan or the JP. 3. As work proceeds, generate and protect records that document compliance with JP requirements, specifications, or controls in accordance with applicable procedures and AP-1.18Q. 4. Submit completed records to the DRC using the records package tracking number in accordance with AP-1.18Q prior to Step 9.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
17-17	AP-6.22Q, REVISION 0, PARAGRAPH 5.6 Verify that the JP constructor notifies A/E and representative of the responsible DD that work specified in JP is complete and ready for final inspection. NOTE: Notification may be made on a daily progress report, JP field management report, traveler, or other suitable format.		
17-18	AP-6.22Q, REVISION 0, PARAGRAPH 5.7 Verify that the Architect/Engineer (A/E) performs a final inspection of completed work or complete inspection/verification process in accordance with applicable procedures. Document deficiencies or nonconformances and disposition in accordance with AP-5.27Q, Control of Nonconforming Items.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
17-19	AP-6.22Q, REVISION 0, PARAGRAPH 5.8 Verify that the representative of responsible DD observes final inspection and disposition of any nonconformances. Inform Site Manager (SM), JPRC, and constructor when work is found acceptable to the responsible DD and the constructor is released from the job location. NOTE: the acceptance/release notification to the constructor and others may be made on a record of verbal communication, traveler, or other suitable documentation format. NOTE: For some JPs, three may be more than one point in the execution of the JP where a final inspection of completed work may be performed. The points where final inspections/acceptances are performed will be indicated in the JP or inspection plan and Steps 4 through 8 will be repeated as necessary.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
17-20	AP-6.22Q, REVISION 0, PARAGRAPH 5.9 Verify that the JP Participants prepare and submit to the DRC any additional records (e.g., as-built drawings, work completion reports) that may be necessary to complete responsibilities assigned in the JP within 60 calendar days (unless extended in writing by the SM) of the last scheduled acceptance in Step 8. Reviews the contents of their records segment from completeness and informs JPRC when segment is complete.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
17-21	AP-6.22Q, REVISION 0, PARAGRAPHS 5.10 AND 5.14 Verify that the JPRC: 1. Prepares a Table of Contents for the records package in accordance with AP-1.18Q when all of the records package segments associated with a JP have been completed. Organizes the Table of Contents following the format of the records list (see Attachment 1). 2. Submits completed records package to DRC in accordance with AP-1.18Q.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
17-22	AP-6.22Q, REVISION 0, PARAGRAPHS 5.11 AND 5.15 Verify that the JP Record Sources: Sign and date the Table of Contents to verify their segment is complete.		
17-23	AP-6.22Q, REVISION 0, PARAGRAPH 5.12 Verify that the JP Authenticators: Authenticate segment in accordance with AP-1.18Q and sign Table of Contents. NOTE: Records package segments without QA records do not need to be authenticated.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
17-24	AP-6.22Q, REVISION 0, PARAGRAPHS 5.13 AND 5.15 Verify that the representative of the Responsible DD: 1. Determines if records package is complete and has required records. If records package content does not acceptably document the execution and completion of the JP, direct responsible party to take remedial action. If records package content is acceptable, indicate acceptance by signing records package Table of Contents. 2. Notify DRC that JP is obsolete and should be removed from controlled distribution in accordance with AP-1.5Q, Issuance and Maintenance of Controlled Documents.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	~~SECTION 5~~ GL 6-16-92		
	BTP-RSE-001, REVISION 1, EVALUATION OF ONGOING ACTIVITIES		
20-1	SECTION 5.0, STEP 1 Verify the selection and establishment of evaluation criteria and instructions for activity document or material to be evaluated.		
20-2	STEPS 2, 3, AND 4 Establish that disciplines required were identified, evaluators selected, and criteria/instructions were provided.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
20-3	Verify that the evaluation results were received in a timely manner.		
20-4	Observe that the evaluation package ~~was~~ were properly reviewed and accepted.		

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

AUDIT/SURVEILLANCE
NO YMP-92-24

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	Para: 5.0 GL 9-16-92 STEP 1	AP-1.10Q, "Preparation, Review, Approval, and Revision of SCP/Study Plans" Rev. 5 GL 9-16-92	
20-5	Review schedule of assignment and completions for draft SPs.		
	STEP 2		
20-6	Verify that assigned PI(s) and reviewers qualifications are known, maintained and verified.		
	STEP 11		
20-7	Verify that mandatory or non-mandatory comments have a proposed resolution (on line 12).		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	STEP 12		
20-8	Verify that reviewers have signed the SP reviewers checklist.		
	STEP 21		
20-9	Verify that reviewers have verified resolution of their mandatory comments in the draft SP, and have signed the review checklist in block 3.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	AP-5.32Q, REV. 2, TEST PLANNING AND IMPLEMENTATION REQUIREMENTS		
	SECTION 5.0		
	STEP 2		
20-10	Verify that the Director issues the Test Planning Package Request (Attachment 1) and assigns PE.		
	STEP 2		
20-11	Verify that a log of Test Planning Packages is being maintained.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	STEP 5		
20-12	Verify that a Test Planning Package outline is prepared using Attachment 2.		
	STEP 5		
20-13	Verify that a check for a QA Grading & Upgrade was made.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	STEP 10		
20-14	Verify that the documentation of prerequisites is provided, if needed, to PE.		
	STEP 11		
20-15	Verify incorporation of required activities into Test Planning Package (Previous CAR YMP-92-008, closed).		
	STEP 13		
20-16	Verify that test controls and instructions are approved by the RSED Director.		
	STEP 20		
20-17	Verify approvals are completed on the Planning Package Approval Sheet (Attachment 4)		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	QAAP 3.3, REV. 1, PEER REVIEW		
20-18	PARAGRAPH 5.2.3 Verify that Peer Reviewers credentials have been assessed as being at least equivalent to that needed for the original work		
20-19	PARAGRAPH 5.2.4 Verify that the Peer Reviewer independence from the work reviewed has been reviewed or a documented rationale of adequacy has been included in the report.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
20-20	PARAGRAPH 5.2.5 Verify that the Chairperson has ensured that the Peer's education and experience have been verified and documented.		
20-21	PARAGRAPHS 6.4 AND 6.5 Verify that a Peer Review Report was adequately prepared and signed.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	QMP-02-08, REV. 0, TECHNICAL ASSESSMENT REVIEW		
20-22	PARAGRAPH 5.1.2 Verify that the PQM has performed a review of the quality related aspects of the Technical Assessment Review Notice for inclusion of QA requirements.		
20-23	PARAGRAPH 5.1.2 (ICN NO. 1) Verify that the Review Chairperson has completed the following: a. Designated a Secretary b. Determined the technical disciplines needed c. Established minimum team member requirements d. Obtained a list of qualified candidates e. Ensured that qualifications documentation is prepared, reviewed, signed and dated f. Determined the number of team reviewers		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
20-24	PARAGRAPH 5.4.2 Verify that the review comments and resolutions record memorandum is prepared, reviewed, signed and dated.		
20-25	PARAGRAPH 5.5.2 Verify the teams evaluation of resolutions is performed and documented.		
20-26	PARAGRAPH 5.7 Verify that all commitments are closed out.		
20-27	PARAGRAPH 5.8 Verify that final Data Package disposition is completed.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
20-28	AP-5.1Q Obtain copies of Data Transmittal Package (DTP) and Technical Data Information Form (TDIF), from different participants, for the following categories of data: a. acquired b. developed c. transferred		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	AP-5.1Q, ATTACHMENT 1 Verify the TDIF format.		
	AP-5.1Q, SECTION 5.4		
20-29	Verify that the data packages, including associated TDIFs, are submitted as records to the CRF within 45 days of the end of the quarter in which the data were placed in the Participant Data Archive or on an approved schedule When did the clock start? When did the clock stop?		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS *Record objective evidence reviewed, method of verification, personnel contacted*	* RESULTS
	AP-5.1Q, SECTION 5.6		
20-30	Review responses to requests for technical data and look for any special directions or constraints. (TDM)		
	SECTION 5.8, NOTE AND SECTION 3.6		
20-31	Verify Data Tracking Numbers have been assigned correctly.		
	SECTION 5.15		
20-32	Verify that the above TDIFs and DTPs are correctly represented in the Automated Technical Data Tracking (ATDT) system.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS *Record objective evidence reviewed, method of verification, personnel contacted*	RESULTS
	SECTION 5.21		
20-33	Verify that the above TDIFs and DTPs are correctly represented in the Project Data Catalog and that the catalog is issued quarterly.		
	AP-5.1Q AND AP-5.2Q		
20-34	Verify the differences between the Technical Data Manager and the Technical Data Base Administrator.		
	AP-5.2Q, SECTION 5.3		
20-35	Verify how the TDB coordinates with Participants to ensure that data formats and the scope of the data sets are appropriate for their intended use. (TDBA)	N/A	

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	RESULTS
	SECTION 5.9		
20-36	What are the review criteria used to determine whether the DTP is acceptable for inclusion in the TDB? (TDBA)		
	SECTION 5.9 (a)		
20-37	What are the data base activity requirements?		
	SECTION 5.10		
20-38	Verify how the TDBA updates the ATDT System.		

QUALITY ASSURANCE CHECKLIST (continuation sheet)

ITEM NO.	CHARACTERISTICS TO BE EVALUATED	REMARKS Record objective evidence reviewed, method of verification, personnel contacted	* RESULTS
	AP-5.3Q		
20-39	Verify what information and how it is identified in the following TDBs.		
	RIB		
	GENESIS		
	SEPDB		
	GEMBOCK		