



Department of Energy

Richland Operations Office
P.O. Box 550
Richland, Washington 99352

87-QSD-318

DEC 11 1987

Those on Attached List

Ladies and Gentlemen:

DOE-RL/WESTINGHOUSE JOINT QUALITY ASSURANCE AUDIT 8707, ON MORRISON-KNUDSEN COMPANY, INC. (M-K), BASALT WASTE ISOLATION PROJECT (BWIP) CHECKLISTS

DOE-RL transmitted the audit notification letter 87-QSD-317, dated December 7, 1987, to you, which addressed the scope and schedule of M-K Audit 8707.

The audit checklist proposed to be used by the Audit Team is enclosed. Any checklist question developed subsequent to this transmittal will be provided at the Audit Entrance Meeting which will be held as noted in letter 87-QSD-317.

Any questions regarding this audit or checklist may be directed to T. K. Subramanian of my staff on (509) 376-3175.

Sincerely,

R. P. Saget
R. P. Saget, Director
Quality Systems Division

QSD:TKS

Enclosure *Filed in Jacket*

cc: D. C. Gibbs, WHC, w/encl.

88147579

WM Project: WM-10

PDR w/encl

(Return to WM, 623-SS)

WM Record File: 101

LPDR w/encl

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WM Record File

101

WM Project

10

Docket No.

PDR ☒

LPDR ☒

(B)

Distribution:

Linehan

Wastler

Youngblood

(Return to WM, 623-SS)

Addressees - Letter dated December 11, 1987

A. Alkezweeny, Tribal On-Site Representative, w/encl.
M. Blazek, Oregon Dept. of Energy, w/o encl.
W. Burke, CTUIR, w/encl.
F. R. Cook, NRC On-Site Representative, w/encl.
R. Halfmoon, Nez Perce, w/encl.
T. Husseman, State of Washington, w/encl.
R. Jim, YIN, w/encl.
R. Kelso, GAO, w/o encl.
J. Linehan, NRC-HQ, w/encl.
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DOE-RL QA AUDIT 8707
BASALT WASTE ISOLATION PROJECT
CHECKLISTS

PREPARED BY:

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12-10-87
Date

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Stephen P. Hans
Stephen P. Hans

12-11-87
Date

AUGIT CHECKLIST

AUDIT NO. 8707
 AUDIT QUESTION # 1.1
 PAGE 1 OF 1

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|---|--------------------------|
| BQARD CRITERION <u>1</u> | REQUIREMENT NO. <u>1</u> |
| CORRESPONDING PROGRAM ELEMENT <u>1.1</u> | |
| REQUIREMENT: NOA-1-1986, SUPPLEMENT 1S-1 2.1 PURPOSE The organizational structure and the responsibility assignments shall be that: a) quality is achieved and maintained by those who have been assigned responsibility for performing work; and b) quality achievement is verified by persons or organizations not directly responsible for performing the work. | |
| ADDITIONAL REQUIREMENTS: M-K CO. BWIP, QAM, SECTION 1.0, ORGANIZATION PARA. 1.2.6 M-K CO. BWIP, SECTION QAP 1.1, ORGANIZATION | |
| QUESTION(S): 1. Is M-K organized such that quality is achieved by one organization and the achievement is verified by another organization? <div style="text-align: right;">YES <u> </u> NO <u> </u></div> 2. Is there evidence of DOE-RL approval of the organization structure? <div style="text-align: right;">YES <u> </u> NO <u> </u></div> 3. Are the (12) functions described in QAP 1.1 completely staffed and functioning as described? <div style="text-align: right;">YES <u> </u> NO <u> </u></div> | |
| OBJECTIVE EVIDENCE: | |

[8707.1/1.1.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 1.2
PAGE 1 OF 2

| | |
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| BQARD CRITERION <u>1</u> | REQUIREMENT NO. <u>3</u> |
| CORRESPONDING PROGRAM ELEMENT <u>N/A</u> | |
| REQUIREMENT: 10CFR50 APPENDIX B The authority and duties of persons and organizations performing activities affecting the safety-related functions of structures, systems, and components shall be clearly established and delineated in writing. | |
| ADDITIONAL REQUIREMENTS: M-K Co. BWIP QAM, SECTION 1.0, REV. 2 M-K Co. QA IMPLEMENTING PROCEDURE QAP 1.1 | |
| QUESTION(S): 1. Organization charts clearly identify onsite/offsite elements which function under the cognizance of the QA program? YES <u> </u> NO <u> </u> 2. The QA responsibilities of each organization noted on the chart are described? YES <u> </u> NO <u> </u> 3. The overall authority and responsibility for the QA program is identified? YES <u> </u> NO <u> </u> | |
| OBJECTIVE EVIDENCE: | |

[8707.1/N/A.C1]

CHECKLIST CONTINUATION SHEET

AUDIT NO. 8707
AUDIT QUESTION # 1.2
PAGE 2 OF 2

QUESTION(S):

4. The management position responsible for QA is:

- same or higher organizational level as highest line manager?

YES _____ NO _____

- able to communicate with other Senior Management Positions?

YES _____ NO _____

- responsible for the QA Manual and changes thereto?

YES _____ NO _____

- not responsible for unrelated duties?

YES _____ NO _____

5. Persons responsible for QA have authority to exercise control over QA program?

YES _____ NO _____

OBJECTIVE EVIDENCE:

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 1.3
PAGE 1 OF 1

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| BQARD CRITERION | <u> 1 </u> | REQUIREMENT NO. | <u> 5 </u> |
| CORRESPONDING PROGRAM ELEMENT | <u> 1.3 </u> | | |
| REQUIREMENT: | NRC REVIEW PLAN SECTION 1.11 Verification of conformance to established requirements is accomplished by individuals or groups within the QA organization. | | |
| ADDITIONAL REQUIREMENTS: | M-K BWIP QAM SECTION 1.0, REV. 2, PAGE 4 M-K BWIP QAP SECTION 1.1, REV. 2, PARA. 5.2.11 | | |
| QUESTION(S): | 1. Is the QC organization apart of the QA organization? <div style="text-align: right;">YES <u> X </u> NO <u> </u></div> | | |
| OBJECTIVE EVIDENCE: | Organization chart is referenced above. | | |

[8707.5/1.3.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 1.4
PAGE 1 OF 2

| | |
|---|--------------------------|
| BQARD CRITERION <u>1</u> | REQUIREMENT NO. <u>6</u> |
| CORRESPONDING PROGRAM ELEMENT <u>1.2</u> | |
| REQUIREMENT: REQUIREMENT 6: 10CFR50 APPENDIX B The persons and organizations performing quality assurance functions shall have sufficient authority and organizational freedom to identify quality problems; to initiate, recommend, or provide solutions; and to verify implementation of solutions. | |
| ADDITIONAL REQUIREMENTS: M-K BWIP QAM SECTION 0.2, POLICY STATEMENT, REV. 3 M-K BWIP QAM SECTION 1.0, PARA. 1.2.4, REV. 2 M-K BWIP QAM SECTION 1.0, PARA 1.2.10, REV. 2 M-K BWIP QAP 1.2, STOP WORK ORDER, REV. 1 M-K BWIP QAP 1.1, ORGANIZATION, PARA. 5.2.9 & 5.2.10 | |
| QUESTION(S): 1. Do QA organizations have access to management level to assure: <ul style="list-style-type: none">• identify quality problems.• initiate, recommend or provide solutions.• verify implementation of solution.• stop unsatisfactory work? <div style="text-align: right;">YES <u> </u> NO <u> </u></div> | |
| OBJECTIVE EVIDENCE: | |

[8707.6/1.2.C1]

CHECKLIST CONTINUATION SHEET

AUDIT NO. 8707
AUDIT QUESTION # 1.4
PAGE 2 OF 2

QUESTION(S):

2. Provisions are established for resolution of disputes arising from QA personnel differing opinions with other organization/department?

YES _____ NO _____

3. Policies regarding implementation of QA programs are documented and mandatory?

YES _____ NO _____

OBJECTIVE EVIDENCE:

[8407.6/1.2.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 2.1
PAGE 1 OF 1

| | |
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| BQARD CRITERION <u>2</u> | REQUIREMENT NO. <u>2</u> |
| CORRESPONDING PROGRAM ELEMENT <u>N/A</u> | |
| REQUIREMENT: NRC REVIEW PLAN SECTION 2.4 The QA organization reviews and documents concurrence with the quality-related procedures relative to QA requirements. | |
| ADDITIONAL REQUIREMENTS: MKE BWIP QAM, SEC. 2.0, REV. 2, PARA. 2.2.4 MKE BWIP QAP, SEC. 2.1, REV. 2, PARA. 5.2.2 | |
| QUESTION(S): 1. Are there measures established for QA to review and concur with quality-related procedures? YES _____ NO _____ 2. From a sample of quality-related procedures, is there evidence of review and concurrency by QA? YES _____ NO _____ | |
| OBJECTIVE EVIDENCE: | |

[8707.87542/2.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 2.2
PAGE 1 OF 1

| | |
|--|--------------------------|
| BQARD CRITERION <u>2</u> | REQUIREMENT NO. <u>4</u> |
| CORRESPONDING PROGRAM ELEMENT <u>N/A</u> | |
| REQUIREMENT: NRC REVIEW PLAN SECTION 2.2 The QA program includes a commitment that all development, control, and/or use of computer programs will be conducted in accordance with the QA program. Guidance for the content of documentation of computer codes is provided by NUREG-0856, "Final Technical Position on Documentation of Computer Codes for High-Level Waste Management." | |
| ADDITIONAL REQUIREMENTS: None | |
| QUESTION(S): 1. Have provisions been included in MKE's QA program for the above requirement? <div style="text-align: right;">YES _____ NO _____</div> | |
| OBJECTIVE EVIDENCE: | |

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 2.3
PAGE 1 OF 1

| | |
|---|--------------------------|
| BQARD CRITERION <u>2</u> | REQUIREMENT NO. <u>5</u> |
| CORRESPONDING PROGRAM ELEMENT <u>2.4</u> | |
| REQUIREMENT: NQA-1-1986, BASIC REQUIREMENT 2. QUALITY ASSURANCE PROGRAM - The program shall provide for the planning and accomplishment of activities affecting quality under suitably controlled conditions. Controlled conditions include the use of appropriate equipment, suitable environmental conditions for accomplishing the activity, and assurance that prerequisites for the given activity have been satisfied. | |
| ADDITIONAL REQUIREMENTS: MKE BWIP QAM, SEC. 2.0, REV. 2, PARA. 2.2.3.b | |
| QUESTION(S): 1. Have implementing procedures been written to assure planning and accomplishment of activities under suitable controlled conditions? YES _____ NO _____ YES _____ NO _____ | |
| OBJECTIVE EVIDENCE: | |

[8707.87542/2.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 2.4
PAGE 1 OF 1

| | |
|--|--------------------------|
| BQARD CRITERION <u>2</u> | REQUIREMENT NO. <u>7</u> |
| CORRESPONDING PROGRAM ELEMENT <u>2.4</u> | |
| REQUIREMENT: 7: 10 CFR 50 APPENDIX B The program shall take into account the need for special controls, processes, test equipment, tools, and skills to attain the required quality, and the need for verification of quality by inspection and tests. | |
| ADDITIONAL REQUIREMENTS: MKE BWIP QAM, SEC. 2.0, REV. 2, PARA. 2.2.3.C. | |
| QUESTION(S): 1. Have provisions been implemented for special controls, processes, test equipment tools and skills to attain quality? YES _____ NO _____ 2. Have provisions been implemented for verification of quality by inspection and test? YES _____ NO _____ | |
| OBJECTIVE EVIDENCE: | |

[8707.87542/2.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 2.5
PAGE 1 OF 1

| | |
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| BQARD CRITERION <u>2</u> | REQUIREMENT NO. <u>8</u> |
| CORRESPONDING PROGRAM ELEMENT <u>2.5</u> | |
| REQUIREMENT: 10 CFR 50, Appx. B - The program shall provide for indoctrination and training of personnel performing activities affecting quality as necessary to assure that suitable proficiency is achieved and maintained. | |
| ADDITIONAL REQUIREMENTS: MKE BWIP QAM SEC. 2.0, REV. 2, PARA. 2.2.6; 2.2.9 & 2.2.11 MKE BWIP QAP 2.2, REV. 1 | |
| QUESTION(S): 1. Are provisions established and implemented for indoctrination and training of personnel? YES _____ NO _____ 2. Select a sample of Design Reviewers, Inspectors, Auditors and Line Function personnel. Are the training records in conformance with QAP 2.2? YES _____ NO _____ | |
| OBJECTIVE EVIDENCE: | |

[8707.87542/2.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
 AUDIT QUESTION # 2.6
 PAGE 1 OF 1

| | |
|---|---------------------------|
| BQARD CRITERION <u>2</u> | REQUIREMENT NO. <u>10</u> |
| CORRESPONDING PROGRAM ELEMENT <u>2.7</u> | |
| <p>REQUIREMENT: NRC REVIEW PLAN, SECTION 2.7 - A description is provided of how management (above or outside the QA organization) regularly assesses the scope, status, adequacy, and compliance of the QA program to 10 CFR Part 50, Appendix B. These measures should include:</p> <ul style="list-style-type: none"> a. Frequent contact with program status through reports, meetings, and/or audits. b. Performance of an annual assessment which is preplanned and documented with corrective action identified and tracked. | |
| <p>ADDITIONAL REQUIREMENTS:</p> <p>None</p> | |
| <p>QUESTION(S):</p> <ul style="list-style-type: none"> 1. Is a description of how regular management assessment is provided in MKE's QA program? <div style="text-align: right;">YES <input type="checkbox"/> NO <input type="checkbox"/></div> 2. Does the description contain frequent contact through reports, meetings or audits? <div style="text-align: right;">YES <input type="checkbox"/> NO <input type="checkbox"/></div> 3. Performance of an annual assessment which is preplanned and documented? <div style="text-align: right;">YES <input type="checkbox"/> NO <input type="checkbox"/></div> | |
| <p>OBJECTIVE EVIDENCE:</p> | |

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 3.1
PAGE 1 OF 2

| | |
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| BQARD CRITERION <u>3</u> | REQUIREMENT NO. <u>10</u> |
| CORRESPONDING PROGRAM ELEMENT <u>3.0</u> DESIGN CONTROL IN MK-BWIP QA MANUAL, 3.4A "CONTROL OF DESIGN CHANGES IN AUDIT HANDBOOK | |
| REQUIREMENT: BQARD 10 - "Design changes, including field changes, shall be subject to design control measures commensurate with those applied to the original design..." MK-BWIP QA PROGRAM, SECTION 3; Second Paragraph - "MK initiates and processes design/field changes in accordance with implementing QA procedures." | |
| ADDITIONAL REQUIREMENTS: M-K BWIP QAP 3.1 DESIGN/FIELD CHANGES (QA PROCEDURE), PARA. 5.2 (PROCESSING OF M-K BWIP ORIGINATED DFC's) | |
| QUESTION(S): 1. Do design field change forms indicate the following approvals: Project Engineer (PE)? Senior Office Engr (SOE)? Engr. Manager (EM)? Project Quality Mgr. (PQM)? (Level I & II) Integrating Contractor (IC)? Architect Engineer (AG)? <div style="text-align: right;">YES <u> </u> NO <u> </u></div> | |
| OBJECTIVE EVIDENCE: | |

[8707.3.1/10.C1]

CHECKLIST CONTINUATION SHEET

AUDIT NO. 8707
AUDIT QUESTION # 3.1
PAGE 2 OF 2

QUESTION(S):

2. Does the PE assign Quality Levels on the DFC to written requirements commensurate with those applied to the original design, (i.e., Do they agree with the original AE approved quality level designations?)

YES _____ NO _____

3. Do the QA program manual and implementing procedure assure that field changes are subject to the design control measures commensurate with those applied to the original design?

YES _____ NO _____

OBJECTIVE EVIDENCE:

[8407.3.1/10.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 3.2
PAGE 1 OF 2

| | |
|--|--------------------------|
| BQARD CRITERION <u>3</u> | REQUIREMENT NO. <u>4</u> |
| CORRESPONDING PROGRAM ELEMENT <u>3.0 DESIGN CONTROL IN MK-BWIP QA MANUAL</u> <u>3.5A CONTROL OF DESIGN INTERFACES IN AUDIT HANDBOOK</u> | |
| REQUIREMENT: BQARD 4 - "Measures shall be established for the identification and control of design interfaces and for coordination among participating design organizations." M-K BWIP QA PROGRAM, SECTION 3 - "None" | |
| ADDITIONAL REQUIREMENTS: M-K BWIP QAP 3.1 "DESIGN/FIELD CHANGES" IMPLEMENTING PROCEDURE | |
| QUESTION(S): 1. Does the Quality Assurance program manual specify design interface and coordination requirements? YES _____ NO _____ 2. Is there evidence that design interfaces are identified as they relate to DFC's? YES _____ NO _____ 3. Is there evidence that design interfaces are controlled as they relate to DFC's? YES _____ NO _____ | |
| OBJECTIVE EVIDENCE: | |

[8707.3.2/4.C1]

CHECKLIST CONTINUATION SHEET

AUDIT NO. 8707
AUDIT QUESTION # 3.2
PAGE 2 OF 2

QUESTION(S):

4. The SOW indicates that M-K participates in design reviews with the AE, IC and DOE. Has M-K participated in any design reviews?

YES _____ NO _____

5. If yes to 5 above, do procedures indicate these interface and M-K participant capability requirements?

YES _____ NO _____

OBJECTIVE EVIDENCE:

[8407.3.2/4.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 4.1
PAGE 1 OF 1

| | |
|---|--------------------------|
| BQARD CRITERION <u>4</u> | REQUIREMENT NO. <u>1</u> |
| CORRESPONDING PROGRAM ELEMENT <u>4.1</u> | |
| REQUIREMENT: REQUIREMENT 1: 10 CFR 50 APPENDIX B Measures shall be established to assure that applicable regulatory requirements, design bases, and other requirements which are necessary to assure adequate quality are suitably included or referenced in the documents for procurement of material, equipment, and services, whether purchased by the applicant or by its contractors or subcontractors. M-K BWIP QA PROGRAM MANUAL, REV. 3, 4.2.1 a M-K IMPLEMENTING PROCEDURES MANUAL, REV. 10, QAP 4.1, 5.2.1.1 | |
| ADDITIONAL REQUIREMENTS: | |
| QUESTION(S): Review examples of Purchase Requisitions and verify they address the following as applicable: <ol style="list-style-type: none">1. A statement of the scope of work to be performed by the supplier.2. Applicable codes and standards.3. Description of the requirements for the Suppliers Quality Program.4. Quality Level.5. References to Technical and Quality Requirements.6. Material or Item identification requirements.7. Applicable drawings and specifications.8. Test and inspection requirements.9. Shipping/handling/storage requirements.10. Documentation to be prepared, maintained and submitted for approval as applicable including time of submittal.11. Requirements for right of access to the suppliers facilities.12. Quality requirements for lower-tier procurements.13. Nonconformance reporting requirements. | |
| OBJECTIVE EVIDENCE: | |

[8707.4.1/1.C1]

AUDIT.CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 4.2
PAGE 1 OF 1

| | |
|--|----------------------------|
| BQARD CRITERION <u>4</u> | REQUIREMENT NO. <u>4.2</u> |
| CORRESPONDING PROGRAM ELEMENT <u>4.2</u> | |
| REQUIREMENT: NRC REVIEW PLAN SECTION 4.2 | |
| <p>Organizational responsibilities are described for: (1) procurement planning; (2) the preparation, review, approval, and control of procurement documents; (3) supplier selection; (4) bid evaluations; and (5) review and concurrence of supplier QA programs prior to initiation of activities affected by the program. The involvement of the QA organization is described.</p> <p>M-K QA Program Manual, Revision 3, Paras. 4.2.2, 4.2.3</p> | |
| ADDITIONAL REQUIREMENTS: | |
| QUESTION(S): | |
| <p>Verify that the M-K Procurement Organization responsibilities are described as outlined above.</p> <p>YES _____ NO _____</p> | |
| OBJECTIVE EVIDENCE: | |

[8707.4.2/4.2.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 4.3
PAGE 1 OF 1

| | | | |
|--|------------|-----------------|------------|
| BQARD CRITERION | <u>4</u> | REQUIREMENT NO. | <u>4.3</u> |
| CORRESPONDING PROGRAM ELEMENT | <u>4.3</u> | | |
| REQUIREMENT: NQA-1, 1986, SUPPLEMENT 4S-1, 4 - "Procurement document changes shall be subject to the same degree of control as utilized in the preparation of the original documents." M-K QA PROGRAM, REV. 3, Para. 4.2.3 | | | |
| ADDITIONAL REQUIREMENTS: | | | |
| QUESTION(S): | | | |
| Verify that procurement document changes are subject to the same controls as the originals. | | | |
| YES _____ NO _____ | | | |
| OBJECTIVE EVIDENCE: | | | |

[8707.4.3/4.3.C1]

AUDIT CHECKLIST

AUDIT NO. 8707AUDIT QUESTION # 5.1PAGE 1 OF 1

| | |
|---|--------------------------|
| BQARD CRITERION <u>5</u> | REQUIREMENT NO. <u>1</u> |
| CORRESPONDING PROGRAM ELEMENT <u>5.1</u> | |
| REQUIREMENT: NRC REVIEW PLAN SECTION 5.1 "Organizational responsibilities are described for assuring that quality-related activities are: (1) specified in instruction, procedures, and drawings; and (2) accomplished through implementation of these documents. These documents should be verified and approved as described in Section 3 (of the NRC Review Plan)." | |
| ADDITIONAL REQUIREMENTS: MKE BWIP QAM, SEC. 5.0, REV.1 MKE BWIP QAP 5.1, REV. 2, 5.2, REV. 1 | |
| QUESTION(S): 1. Are instruction, procedures and drawings prepared which specify quality-related activities? YES _____ NO _____ 2. Are the activities accomplished through implementation of the documents? YES _____ NO _____ 3. Do the instructions, procedures and drawings include acceptance criteria in order to determine satisfactory accomplishment of the activities? YES _____ NO _____ | |
| OBJECTIVE EVIDENCE: | |

[8707.5.1/1.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 6.1
PAGE 1 OF 2

| | |
|---|--------------------------|
| BQARD CRITERION <u>6</u> | REQUIREMENT NO. <u>1</u> |
| CORRESPONDING PROGRAM ELEMENT <u>6.0</u> DOCUMENT CONTROL IN M-K BWIP QA MANUAL <u>6.1</u> CONTROLLED DOCUMENT LIST IN AH <u>6.4</u> DOCUMENT APPROVAL/ISSUE CONTROL IN AH | |
| REQUIREMENT: BQARD 6 - REQ. 1 - "Measures shall be established to control the issuance of documents...including changes thereto, which prescribe all activities affecting quality." MK-BWIP QA PROGRAM, SECTION 6.0 - "This section describes...issue and change of documents that specify quality requirements..." | |
| ADDITIONAL REQUIREMENTS: M-K BWIP - QAP 6.1 - DOCUMENT CONTROL (QA PROCEDURE), Para. 5.3, 5.4, 5.5, 5.6, and 5.7 | |
| QUESTION(S): 1. Does a controlled document list (CDL) list exist? YES _____ NO _____ 2. Does each document on the CDL have a specified distribution? YES _____ NO _____ 3. Are the CDL and Distribution Lists approved and controlled? YES _____ NO _____ 4. Is there evidence that the CDL and Distribution Lists are kept up-to-date? YES _____ NO _____ | |
| OBJECTIVE EVIDENCE: | |

[8707.6.1/1.C1]

CHECKLIST CONTINUATION SHEET

AUDIT NO. 8707
AUDIT QUESTION # 6.1
PAGE 2 OF 2

QUESTION(S):

5. Is work performed with documents not within the controlled document system?

YES NO

6. Do the following people know what documents are under control:

6.1 Project manager-engineering and subcontract administration?

6.2 Engineering Manager?

6.3 Project Quality Manager?

6.4 Senior Office Engineer?

6.5 Document Control Engineer?

6.6 Vendor Data Engineer?

YES NO

7. Does a master list (or equivalent) exist to identify the current revision of instructions, procedures, specifications, drawings and procurement documents? (NRC Rev. Plan 6.5)

YES NO

8. Are design/field changes controlled?

YES NO

OBJECTIVE EVIDENCE:

[8407.6.1/1.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 6.2
PAGE 1 OF 1

| | |
|---|--------------------------|
| BQARD CRITERION <u>6</u> | REQUIREMENT NO. <u>2</u> |
| CORRESPONDING PROGRAM ELEMENT <u>6.0</u> DOCUMENT CONTROL: M-K BWIP QA MANUAL <u>6.3</u> DOCUMENT REVIEW SYSTEM IN AH | |
| REQUIREMENT: BQARD 6, REQ. 2: "...Measures shall assure that documents, including chnages, are reviewed for adequacy and approved for release by authorized personnel..." MK BWIP QA PROGRAM, SECTION 6.0, PARA. 6.2.1 - "Documents generated by M-K BWIP specifying quality requirements or prescribing activities affecting quality shall be reviewed for adequacy and approved for release by the project quality manager or his designee(s)." | |
| ADDITIONAL REQUIREMENTS: MK BWIP QAP 6.1 DOCUMENT CONTROL (QA PROCEDURE) PARAS. 5.1, 5.2, 5.3, 5.4, 5.5, 5.6, 5.7, 5.8, and 5.9. | |
| QUESTION(S): 1. Is documented evidence available to indicate that there is an approved document control system which requires document reviews and resolution of review comments? YES _____ NO _____ 2. Does Quality Assurance review documents and changes to documents for quality impact and ability to prevent quality problems? YES _____ NO _____ | |
| OBJECTIVE EVIDENCE: | |

[8707.6.2/6.0&6.3.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 6.3
PAGE 1 OF 1

| | |
|--|--------------------------|
| BQARD CRITERION <u>6</u> | REQUIREMENT NO. <u>2</u> |
| CORRESPONDING PROGRAM ELEMENT <u>6.0</u> DOCUMENT CONTROL: M-K BWIP QA MANUAL <u>6.6</u> DISTRIBUTION CONTROLS: AUDITOR HANDBOOK (AH) | |
| <p>REQUIREMENT: BQARD 6, REQ. 2 - "These measures shall assure that documents...are distributed to and used at the location where the prescribed activity is performed."</p> <p>M-K BWIP QA PROGRAM, SECTION 6.0, PARA. 6.2.2 - "Document...shall be controlled to assure that correct and applicable documents are available at the location where the activity will be performed prior to commencing the work."</p> | |
| ADDITIONAL REQUIREMENTS: M-K BWIP QAP 6.1 - DOCUMENT CONTROL, Paras. 5.3, 5.4, 5.5, 5.6, and 5.7 | |
| <p>QUESTION(S):</p> <ol style="list-style-type: none"> 1. Is there evidence of distributed controlled documents which have not received the latest updates? (Are copy holders using these outdated documents?) YES _____ NO _____ 2. Is there evidence that controlled documents are distributed to and used at the locations where the prescribed activity is performed? YES _____ NO _____ 3. Is there evidence that action is taken when receipt acknowledgements are not returned? YES _____ NO _____ | |
| OBJECTIVE EVIDENCE: | |

[8707.6.3/2.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 6.4
PAGE 1 OF 1

| | |
|---|--------------------------|
| BQARD CRITERION <u>6</u> | REQUIREMENT NO. <u>3</u> |
| CORRESPONDING PROGRAM ELEMENT <u>6.0 DOCUMENT CONTROL IN M-K BWIP QA MANUAL</u> <u>6.5 DOCUMENT CHANGE CONTROLS IN AH</u> | |
| REQUIREMENT: BQARD 6, REQ 3 - "Changes to documents shall be reviewed and approved by the same organizations that performed the original review and approval unless the applicant designates another responsible organization...the reviewing...shall have access to pertinent background information..." M-K BWIP QA PROGRAM, SECTION 6.0, Para. 6.2.3 - "Changes to documents shall be reviewed and approved by the same organizations that performed the original review and approval unless other organizations are specifically designated by the project quality manager." | |
| ADDITIONAL REQUIREMENTS: M-K BWIP QAP 6.1 - DOCUMENT CONTROL, Para. 5.1.5, "Revisions to documents will follow the same processing steps as the original issues." | |
| QUESTION(S): 1. Do procedures require review by the same organizations (or disciplines) that performed the original reviews? YES _____ NO _____ 2. Do the reviewers have all documents needed to understand the intent of the original document, (e.g., Do they have current controlled document readily available?) YES _____ NO _____ 3. Do procedures exist which define how changed documents are implemented? YES _____ NO _____ | |
| OBJECTIVE EVIDENCE: | |

[8707.6.4/3.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
 AUDIT QUESTION # 7.1
 PAGE 1 OF 1

| | |
|---|--------------------------|
| BQARD CRITERION <u>7</u> | REQUIREMENT NO. <u>1</u> |
| CORRESPONDING PROGRAM ELEMENT _____ | |
| REQUIREMENT: REQUIREMENT 1: 10 CFR 50 APPENDIX B Measures shall be established to assure that purchased material, equipment, and services, whether purchased directly or through contractors and subcontractors, conform to the procurement documents. NRC REVIEW PLAN SECTION 7.1 Organization responsibilities are described for the control of purchased material, equipment, and services. | |
| ADDITIONAL REQUIREMENTS: M-K QAM, REV. 3. SECTION 7.2.1, 7.2.2 NQA-1-1986, SUPPLEMENT 7S-1, SECTION 2 | |
| QUESTION(S): 1. Have procedures been established to assure that control of purchased items and services are accomplished in accordance with the above requirements. <div style="text-align: right;">YES _____ NO _____</div> 2. Are organizational responsibilities clearly defined for control of purchased materials, equipment, and services including the acceptance of all deliverables? <div style="text-align: right;">YES _____ NO _____</div> 3. Review a sample of records for completed procurement activities that substantiate that these activities have been properly performed. Are the records properly stored? <div style="text-align: right;">YES _____ NO _____</div> | |
| OBJECTIVE EVIDENCE: | |

[8707.7.1/1.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 7.2
PAGE 1 OF 1

| | |
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| BQARD CRITERION <u>7</u> | REQUIREMENT NO. <u>2</u> |
| CORRESPONDING PROGRAM ELEMENT _____ | |
| REQUIREMENT: REQUIREMENT 2: 10 CFR 50 APPENDIX B These measures shall include provisions, as appropriate, for source evaluation and selection, objective evidence of quality furnished by the contractor or subcontractor, inspection at the contractor or subcontractor source, and examination of products upon delivery. NRC REVIEW PLAN SECTION 7.2 Procedures governing procurement of items or services, including appropriate QA organization participation, provide for: (a) evaluation and selection of suppliers; (b) verification of supplier's activities; and (c) receiving inspections. | |
| ADDITIONAL REQUIREMENTS: NQA-1-1986, SUPPLEMENT 7S-1, SECTION(S) 3,4,5,8 AND 10 M-K QAM, REVISION 3, SECTION 7.2 | |
| QUESTION(S): 1. Are measures in place to ensure suppliers selected are capable of providing the items and/or services being purchased in accordance with applicable requirements? YES _____ NO _____ 2. Verify that QA reviews results of supplier evaluations and documents approval of qualified suppliers? YES _____ NO _____ | |
| OBJECTIVE EVIDENCE: | |

[8707.7.2/2.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 7.3
PAGE 1 OF 2

| | |
|---|--------------------------|
| BQARD CRITERION <u>7</u> | REQUIREMENT NO. <u>3</u> |
| CORRESPONDING PROGRAM ELEMENT _____ | |
| REQUIREMENT: REQUIREMENT 3: 10 CFR 50 APPENDIX B Documentary evidence that material and equipment conform to the procurement requirements shall be available at the nuclear powerplant or fuel reprocessing plant site prior to installation or use of such material and equipment. NRC REVIEW PLAN SECTION 7.3 The organization providing materials, equipment, or services furnishes the following records to the purchaser: a. Documentation that identifies the service and the specific procurement requirements (e.g., codes, standards, and specifications) met. | |
| ADDITIONAL REQUIREMENTS: NQA-1-1986, SUPPLEMENT 7S-1, SECTIONS 5,6,7,8 AND 9 M-K QAM, REV. 3, SECTION 7.2 | |
| QUESTION(S): 1. Have measures been established to ensure that documentary evidence that material and equipment conform to procurement requirements are available at the site? YES _____ NO _____ 2. Review a sample of records furnished by the organization providing services, materials, or equipment as described by requirements above. YES _____ NO _____ | |
| OBJECTIVE EVIDENCE: | |

[8707.7.3/3.C1]

CHECKLIST CONTINUATION SHEET

AUDIT NO. 8707
AUDIT QUESTION # 7.3
PAGE 2 OF 2

ADDITIONAL REQUIREMENTS:

- b. Documentation identifying any procurement requirements that have not been met.
- c. A description of those nonconformances from the procurement requirements dispositioned "accept as is" or "repair".

The procedure for review and acceptance of these documents should be described in the purchaser's QA program.

ADDITIONAL QUESTIONS:

- 3. Are suppliers required to obtain purchasers approval of nonconformances dispositioned "use as is" or "repair".

OBJECTIVE EVIDENCE:

[8407.7.3/3.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 8.1
PAGE 1 OF 1

| | |
|---|--------------------------|
| BQARD CRITERION <u>8</u> | REQUIREMENT NO. <u>1</u> |
| CORRESPONDING PROGRAM ELEMENT _____ | |
| REQUIREMENT: REQUIREMENT 1: 10 CFR 50 APPENDIX B Measures shall be established for the identification and control of materials, parts, and components, including partially fabricated assemblies. NRC REVIEW PLAN SECTION 8.1 - Controls are established and described to identify and control samples. The description should include organization responsibilities. NRC REVIEW PLAN SECTION 8.3 - Identification of samples can be traced to the appropriate documentation such as drawings, specifications, purchase orders, drilling logs, test records, inspection documents, and nonconformance reports. | |
| ADDITIONAL REQUIREMENTS: NQA-1-1986, SUPPLEMENT 8S-1 M-K QAM | |
| QUESTION(S): 1. Have measures been established for the identification and control of materials, parts and components and samples? YES _____ NO _____ 2. Are the organizational responsibilities described in the established controls? YES _____ NO _____ 3. Verify that identification of samples can be traced to appropriate documentation as described in the above requirements? YES _____ NO _____ | |
| OBJECTIVE EVIDENCE: | |

[8707.8.1/1.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
 AUDIT QUESTION # 8.2
 PAGE 1 OF 1

| | |
|---|--------------------------|
| BQARD CRITERION <u>8</u> | REQUIREMENT NO. <u>2</u> |
| CORRESPONDING PROGRAM ELEMENT _____ | |
| <p>REQUIREMENT: REQUIREMENT 2: 10 CFR 50 APPENDIX B - These measures shall assure that identification of the item is maintained by heat number, part number, serial number, or other appropriate means, either on the item or on records traceable to the item, as required throughout fabrication, erection, installation, and use of the item.</p> <p>NRC REVIEW PLAN SECTION 8.2 - Procedures are established which assure that identification is maintained either on the samples or their containers, or on records traceable thereto.</p> | |
| <p>ADDITIONAL REQUIREMENTS: NQA-1-1986, SUPPLEMENT 8S-1 M-K, QAM, REV. 3, SECTION 8.2</p> | |
| <p>QUESTION(S):</p> <p>1. Have measures been established which assure that identification of items/samples is maintained either on the item/sample or their containers or on records traceable thereto? YES _____ NO _____</p> <p>2. Review a sampling of items/samples for this identification. YES _____ NO _____</p> | |
| OBJECTIVE EVIDENCE: | |

AUDIT CHECKLIST

AUDIT NO. 8707
 AUDIT QUESTION # 8.3
 PAGE 1 OF 1

| | |
|---|--------------------------|
| BOARD CRITERION <u>8</u> | REQUIREMENT NO. <u>3</u> |
| CORRESPONDING PROGRAM ELEMENT _____ | |
| <p>REQUIREMENT: REQUIREMENT 3: 10 CFR 50 APPENDIX B - These identification and control measures shall be designed to prevent the use of incorrect or defective material, parts, and components.</p> <p>NRC REVIEW PLAN SECTION 8.4 - Correct identification of samples is verified and documented prior to release for use or analysis.</p> <p>In addition, for a sample discretely identified only by its container, verification and documentation shall be extended to include sample return to the discrete container, if permitted by lab practice. Any transfer of material shall contain the sample identification number.</p> | |
| <p>ADDITIONAL REQUIREMENTS:</p> <p>M-K QAM, REVISION 3, SECTION 8.2.3</p> | |
| <p>QUESTION(S):</p> <p>1. Have measures been established to control the prevention of the use of incorrect or defective material, parts, components? YES _____ NO _____</p> <p>2. Is the correct identification of samples verified and documented prior to use? Review a sampling of records pertaining to this requirement? YES _____ NO _____</p> <p>3. Does a walk through of field test areas, storage areas reveal the presence of unidentified samples or items? YES _____ NO _____</p> | |
| OBJECTIVE EVIDENCE: | |

[8707.8.3/3.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 9.1
PAGE 1 OF 1

| | |
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| BQARD CRITERION <u>9</u> | REQUIREMENT NO. <u>1</u> |
| CORRESPONDING PROGRAM ELEMENT <u>9.1</u> | |
| REQUIREMENT: Measures shall be established to assure that special processes, including welding, heat treating, and non-destructive testing, are controlled and are accomplished by qualified personnel using qualified procedures in accordance with applicable codes, standards, specifications, criteria and other special requirements. | |
| ADDITIONAL REQUIREMENTS: MKE BWIP QAM, SEC. 9.0, REV. 2 MKE BWIP QA 9.1, REV. 1 | |
| QUESTION(S): 1. Are procedures provided for the purpose of proper controls? <div style="text-align: right;">YES _____ NO _____</div> 2. Are procedures adequate and properly implemented? <div style="text-align: right;">YES _____ NO _____</div> | |
| OBJECTIVE EVIDENCE: | |

[8707.1.09.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
 AUDIT QUESTION # 10.1
 PAGE 1 OF 1

| | |
|---|--------------------------|
| BQARD CRITERION <u>10</u> | REQUIREMENT NO. <u>1</u> |
| CORRESPONDING PROGRAM ELEMENT <u>10.1</u> | |
| REQUIREMENT: A program for inspection of activities affecting quality shall be established and executed by or for the organization performing the activity to verify conformance with the documented instructions, procedures, and drawings for accomplishing the activity. | |
| ADDITIONAL REQUIREMENTS: MKE BWIP QAM, SEC. 10.0, REV. 1 MKE BWIP QAP 10.1, REV. 2 | |
| QUESTION(S): 1. Are the procedures for inspection adequate and provided for? <div style="text-align: right;">YES <u> </u> NO <u> </u></div> 2. Are the procedures being implemented? <div style="text-align: right;">YES <u> </u> NO <u> </u></div> | |
| OBJECTIVE EVIDENCE: | |

[8707.1.10.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 11.1
PAGE 1 OF 1

| | |
|--|--------------------------|
| BQARD CRITERION <u>11</u> | REQUIREMENT NO. <u>1</u> |
| CORRESPONDING PROGRAM ELEMENT <u>11.1</u> | |
| REQUIREMENT: REQUIREMENT 1: 10 CFR 50 APPENDIX B | |
| A test program shall be established to assure that all testing required to demonstrate that structures, systems, and components will perform satisfactory in service is identified and performed in accordance with written test procedures which incorporate the requirements and acceptance limits contained in applicable design documents. | |
| ADDITIONAL REQUIREMENTS: M-KE, BWIP QAM, SECTION 11.0, REV.2 | |
| QUESTION(S): | |
| 1. Is there an established test program for MK testing? | |
| YES _____ NO _____ | |
| OBJECTIVE EVIDENCE: | |

[8707.11.1/1.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
 AUDIT QUESTION # 12.1
 PAGE 1 OF 1

| | |
|---|--------------------------|
| BQARD CRITERION <u>12</u> | REQUIREMENT NO. <u>1</u> |
| CORRESPONDING PROGRAM ELEMENT <u>12.1</u> | |
| REQUIREMENT: Measures shall be established to assure that tools, gages, instruments, and other measuring and test equipment devices used in the activities affecting quality are properly controlled, calibrated, and adjusted at specific periods to maintain accuracy within required limits. | |
| ADDITIONAL REQUIREMENTS: MKE BWIP QAM, SEC. 12.0, REV. 1 MKE BWIP QAP 12.1, REV.1 | |
| QUESTION(S): 1. Are there exitsing procedures which provide for care, calibration and control of equipment used for quality testing? <div style="text-align: right;">YES <u> </u> NO <u> </u></div> 2. Are these procedures implemented? <div style="text-align: right;">YES <u> </u> NO <u> </u></div> | |
| OBJECTIVE EVIDENCE: | |

[8707.1.12.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
 AUDIT QUESTION # 13.1
 PAGE 1 OF 1

| | |
|---|--------------------------|
| BQARD CRITERION <u>13</u> | REQUIREMENT NO. <u>1</u> |
| CORRESPONDING PROGRAM ELEMENT _____ | |
| <p>REQUIREMENT: REQUIREMENT 1: 10 CFR 50 APPENDIX B - Measures shall be established to control the handling, storage, shipping, cleaning and preservation of material and equipment in accordance with work and inspection instructions to prevent damage or deterioration.</p> <p>NRC REVIEW PLAN SECTION 13.1 - 'Sample handling, preservation, storage, packaging, and shipping requirements are established and accomplished by suitably trained individuals in accordance with predetermined work and inspection instructions.</p> | |
| <p>ADDITIONAL REQUIREMENTS: NQA-1-1986, SUPPLEMENT 13S-1, SECTIONS 2,3, & 4; M-K QAM, REVISION 3, SECTION 13.2; M-K QAP 13.1, REV. 10, SECTION 4.5</p> | |
| <p>QUESTION(S):</p> <ol style="list-style-type: none"> Are there measures established to control the handling, storage, cleaning and preservation of material and equipment to prevent damage or destruction? YES _____ NO _____ Verify that suitably trained individuals to the measures established to control the above requirements? YES _____ NO _____ Review M-K QA Audit/Surveillance activities of the requirements M-K QAP 13.1, 4.5. | |
| OBJECTIVE EVIDENCE: | |

[8707.13.1/1.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
 AUDIT QUESTION # 13.2
 PAGE 1 OF 1

| | |
|---|--------------------------|
| BQARD CRITERION <u>13</u> | REQUIREMENT NO. <u>2</u> |
| CORRESPONDING PROGRAM ELEMENT _____ | |
| <p>REQUIREMENT: REQUIREMENT 2: 10 CFR 50 APPENDIX B When necessary for particular products, special protective environments, such as inert gas atmosphere, specific moisture content levels, and temperature levels, shall be specified and provided.</p> <p>NRC REVIEW PLAN SECTION 13.2 - Procedures are established and described to control sample handling, storage, packaging, and shipping in accordance with design and procurement requirements to preclude damage, loss, or deterioration by environmental conditions such as temperature or humidity.</p> | |
| <p>ADDITIONAL REQUIREMENTS: NQA-1-1986, SUPPLEMENT 13S-1, SECTIONS 3.1 AND 3.2 M-K QAM, 13.0, REV. 3, SECTIONS 13.2.2 AND 13.2.3</p> | |
| <p>QUESTION(S):</p> <p>1. Are there measures established to provide special protective environments to meet the above requirements? YES _____ NO _____</p> <p>2. Verify that these protective environments are provided as specified. YES _____ NO _____</p> | |
| OBJECTIVE EVIDENCE: | |

[8707.13.2/2.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 14.1
PAGE 1 OF 1

| | |
|---|--------------------------|
| BQARD CRITERION <u>14</u> | REQUIREMENT NO. <u>1</u> |
| CORRESPONDING PROGRAM ELEMENT <u>14.1</u> | |
| REQUIREMENT: Measures shall be established to indicate, by the use of markings such as stamps, tags, labels, routing cards, or other suitable means, the status of inspections and tests performed upon individual used in quality construction. | |
| ADDITIONAL REQUIREMENTS: MKE BWIP QAM, SEC. 14.0, REV. 1 MKE BWIP QAP, 14.1, REV. 2 & 14.2 REV. 0 | |
| QUESTION(S): 1. Are there existing procedures covering the application of status marking or identification for inspection status? YES _____ NO _____ 2. Are these procedures showing evidence of implementation? YES _____ NO _____ | |
| OBJECTIVE EVIDENCE: | |

[8707.1.14.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
 AUDIT QUESTION # 16.1
 PAGE 1 OF 1

| | |
|---|----------------------------|
| BQARD CRITERION <u>16</u> | REQUIREMENT NO. <u>1.2</u> |
| CORRESPONDING PROGRAM ELEMENT <u>16.0</u> CORRECTIVE ACTION (IN M-K BWIP QA PGM) <u>16.3</u> DETERMINATION OF CAUSE (IN AH) <u>16.4</u> ACTION TO PREVENT RECURRENCE (IN AH) | |
| REQUIREMENT: BQARD 16, REQ. 2 - For..."significant conditions adverse to quality, the measures shall assure that the cause of the condition is determined and corrective action taken to preclude repetition." REQ 1 - "...nonconformances are promptly identified and corrected." M-K BWIP QA PROGRAM, SECTION 16.0, Para. 16.2.2 - "For conditions significantly adverse to quality, procedures shall provide for the following..." | |
| ADDITIONAL REQUIREMENTS: M-K BWIP QAP 16.1 - CORRECTIVE ACTION REQUESTS | |
| QUESTION(S): 1. Is there a system to promptly document conditions adverse to quality? <div style="text-align: right;">YES <u> </u> NO <u> </u></div> 2. Are there provisions made for an evaluation of conditions adverse to quality to determine significant? <div style="text-align: right;">YES <u> </u> NO <u> </u></div> 3. Is there evidence that a condition significantly adverse to quality had been detected but had not received corrective action? <div style="text-align: right;">YES <u> </u> NO <u> </u></div> 4. Is there a system to promptly correct significant conditions adverse to quality? <div style="text-align: right;">YES <u> </u> NO <u> </u></div> 5. Is there a record of recurrence of a significant problem or problem type? <div style="text-align: right;">YES <u> </u> NO <u> </u></div> | |
| OBJECTIVE EVIDENCE: | |

[8707.16.1/1&2.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 16.2
PAGE 1 OF 1

| | |
|--|--------------------------|
| BQARD CRITERION <u>16</u> | REQUIREMENT NO. <u>3</u> |
| CORRESPONDING PROGRAM ELEMENT <u>16.0</u> CORRECTIVE ACTION (IN M-K BWIP QA PGM) <u>16.5</u> DOCUMENTATION, REPORTING TO MGMT (IN AH) | |
| REQUIREMENT: BQARD 16, REQ. 3 - "The identification of the significant condition adverse to quality, the cause of the condition, and the corrective action taken shall be documented and reported to appropriate levels of management." M-K BWIP QA PROGRAM, SECTION 16.0, Para. 16.2.2, 16.2.3 - "For conditions significantly adverse to quality, procedures shall provide for the following:..." | |
| ADDITIONAL REQUIREMENTS: M-K BWIP, QAP 16.1 - CORRECTIVE ACTION REQUESTS | |
| QUESTION(S): 1. Is there evidence of slow response or implementation of corrective action for significant problems? YES _____ NO _____ 2. Is there evidence that significant problems are reported to upper management, IC and DOE within 5 calendar days from the date of initiation? YES _____ NO _____ | |
| OBJECTIVE EVIDENCE: | |

[8707.16.2/3.C1]

AUDIT CHECKLIST

AUDIT NO. 8707
AUDIT QUESTION # 18.1
PAGE 1 OF 2

| | | | |
|---|-----------|-----------------|----------|
| BQARD CRITERION | <u>18</u> | REQUIREMENT NO. | <u>1</u> |
| CORRESPONDING PROGRAM ELEMENT <u>18.0</u> AUDIT (IN M-K BWIP QA MANUAL) <u>18.1</u> AUDIT SCHEDULING (IN AUDIT HANDBOOK); <u>18.5</u> RESOLUTION OF CA FOR FINDINGS (IN AH) | | | |
| <p>REQUIREMENT: BQARD 18, REQ. 1 - "A comprehensive system of planned and periodic audits shall be carried out to verify compliance with all aspects of the QA program and to determine the effectiveness of the program."</p> <p>M-K BWIP QA PROGRAM, SECTION 18 - "Internal or external QA audits... shall be scheduled in a manner to provide coverage and coordination with all ongoing QA program activities..."</p> | | | |
| ADDITIONAL REQUIREMENTS: M-K BWIP QAP 18.1 QUALITY ASSURANCE AUDITS | | | |
| <p>QUESTION(S):</p> <ol style="list-style-type: none"> 1. Is there a system for planned and periodic audits? YES _____ NO _____ 2. Are reasons for deviating from the audit schedule documented and approved if applicable? YES _____ NO _____ 3. Are all MK BWIP major project activities covered by the audit program? YES _____ NO _____ 4. Has an audit plan been prepared, identifying: audits to be performed, frequencies, and schedules? YES _____ NO _____ | | | |
| OBJECTIVE EVIDENCE: | | | |

[8707.18.1/1.C1]

CHECKLIST CONTINUATION SHEET

AUDIT NO. 8707
AUDIT QUESTION # 18.1
PAGE 2 OF 2

QUESTION(S):

5. Is there evidence that audits include an evaluation of the extent to which top management is aware of and acts on critical project information related to quality?
YES _____ NO _____
6. Is there an audit tracking system to help assure that all findings are appropriately addressed and that findings are trended?
YES _____ NO _____
7. Is there evidence that M-K management identifies audit finding root cause, schedules corrective action, installs methods to prevent recurrence and notifies of action taken?
YES _____ NO _____
8. Is there evidence that the impact of findings on completed work is evaluated?
YES _____ NO _____

OBJECTIVE EVIDENCE:

[8407.18.1/1.C1]

CHECKLIST

AUDIT NO. 8707
 AUDIT QUESTION # 18.2
 PAGE 1 OF 1

| | |
|--|--------------------------|
| BQARD CRITERION <u>18</u> | REQUIREMENT NO. <u>2</u> |
| CORRESPONDING PROGRAM ELEMENT <u>18.0</u> AUDIT (IN M-K BWIP QA MANUAL), <u>18.3</u> AUDIT PERFORMANCE, DOCUMENT, (IN AH) | |
| <p>REQUIREMENT: BQARD 18, REQ. 2 - "The audits shall be performed in accordance with the written procedures or checklists by appropriately trained personnel not having direct responsibilities in the areas being audited."</p> <p>M-K BWIP QA PROGRAM, SECTION 18.0 - "This section describes the responsibilities & requirements for planning, scheduling, and performing QA audits to verify compliance with all aspects of the QA Program."</p> | |
| ADDITIONAL REQUIREMENTS: M-K BWIP QAP 18.1 - QUALITY ASSURANCE AUDITS | |
| <p>QUESTION(S):</p> <p>1. Were pre-established wirtten procedures or checklists used to perform audits? YES _____ NO _____</p> <p>2. Were audits performed by trained personnel having no direct responsibilities in the areas audited? YES _____ NO _____</p> <p>3. Is there evidence that auditor orientation was performed? YES _____ NO _____</p> | |
| OBJECTIVE EVIDENCE: | |

[8707.18.2/2.C1]

WM DOCKET CONTROL
CENTER

87 B 16 A1-15

WM Record File

101

WM Project

10

Docket No.

FOR ☒

LPOR ☒

(B)

of the following:

Wastler

Wastler

Youngblood

(U.S. 623-SS)