

See Mr. to Lineman
Sm. Saget 10/30/87
101.2

DEPARTMENT OF ENERGY
BASALT WASTE ISOLATION PROJECT

FINAL QUALITY ASSURANCE AUDIT PLAN
WESTINGHOUSE HANFORD COMPANY (WHC)

AUDIT NO. 8705

SELECTED QA PROGRAM ELEMENTS

NOVEMBER 9 - 20, 1987

T.K. Subramanian 10.28.87

T.K. Subramanian
Audit Team Leader

W.S. Gibbons 10/28/87

W.S. Gibbons
Quality Verification Group Leader

R.P. Saget 10/29/87

R.P. Saget
Director, Quality Systems Division

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PDR WASTE PDR
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AUDIT 8705 FINAL AUDIT PLAN

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**AUDIT 8705
FINAL AUDIT PLAN
WESTINGHOUSE HANFORD COMPANY
November 9 - 20, 1987**

SCOPE

This audit will cover selected QA program elements applicable to Basalt Waste Isolation Project (BWIP) activities currently being performed by WHC with emphasis on, ongoing operations including procurement, material handling, special processes and control of measuring and test equipment.

This is the second part of a two part audit of WHC since the transition from Rockwell to WHC as the new Integrating Contractor. The audit will complete the full spectrum of criterion identified in the BWIP QA Requirements Document (BQARD).

AUDIT TEAM

The audit team is to be led by T.K. Subramanian of DOE-RL's BWIP Quality Systems Division (QSD). The remainder of the team consists of S.C. Young (MACTEC), S.P. Hans (MACTEC), C.K. Kasch (QSD), E.N. Pearson (MACTEC), M.J. Mitchell (MACTEC), and J.R. Lesch (MACTEC).

Technical Advisors will review checklists, prepare additional checklist questions, and evaluate the technical adequacy of selected technical related activities within the scope of this audit.

S.C. Young and S.P. Hans will operate as sub-team leads for teams 'A' and 'B' respectively. Responsibilities for the teams are shown in Table 1.

BACKGROUND

Rockwell Hanford Operations (Rockwell) was directed by the U.S. Department of Energy - Richland Operations Office, Assistant Manager for Commercial Nuclear Waste, (DOE-RL, AMC) to execute a general Stop Work Order (SWO) on ongoing BWIP activities on May 1, 1986. However, certain Rockwell exempted work was allowed to continue in order to accomplish upgrading of the QA program.

Rockwell executed the SWO and developed a plan of action that addressed the work stoppage and recovery process (reference Rockwell letter 30568, R1 to DOE-RL dated 5/14/86).

On January 5, 1987, Rockwell submitted their "BWIP Restart Readiness Report" which defined the actions that Rockwell took to correct the deficiencies which caused the issuance of

the SWO. DOE-RL along with an Independent Management Review Team (IMRT) utilized the readiness review process to assess Rockwell's preparedness to restart. The result of the DOE-RL readiness review activities were provided to interested parties (DOE-HQ, States, Tribes, NRC, GAO, and EEI representatives) in a briefing held on June 4, 1987.

The results of these evaluations resulted in a partial lifting of the SWO on June 10, 1987. As a result of the DOE-RL consolidation effort, Westinghouse Hanford Company (WHC) replaced Rockwell as the Integrating Contractor (IC) for BWIP on June 29, 1987.

The transition of the Integrating Contractor included transfer of many BWIP technical tasks, IC management and QA functions and personnel from RHO to WHC. The QA Manual (MA-3) and procedures developed by RHO in their former role as IC and approved by AMC, have been adopted for the BWIP by WHC.

The partial lifting of the SWO, allowed WHC to resume work following DOE-RL approval of selected Quality Level 1 and 2 Work Initiation Packages (WIPs).

Therefore, planning for the audit is based on WHC efforts to continue with DOE-RL AMC approved BWIP QA manuals and procedures, their efforts relative to exempt work under SWO, and their current effort under partial lift of the SWO. The audit will focus on activities presently being conducted including DC 24/25, exempt activities conducted during the SWO, and the ability of WHC to conduct Level 1 and 2 activities in the near future.

PREVIOUS AUDIT HISTORY

This audit is a continuation of audit 8704 conducted in the third quarter of 1987 and will include the criteria not reviewed or evaluated during that audit. Audit 8704 resulted in three (3) findings and twelve (12) concerns. Details are shown in Table 2 of this plan.

AUDIT PLAN 8705

Based on the background information, and audit objectives, this DOE-RL audit on WHC will address the 8 criteria not addressed in audit 8704. These are shown in Table 1. While audits previous to 8704 (refer to Audit Plan 8704 dated 8/31/87) were more specific in context, this audit, as did the audit 8704, will focus more on overall programmatic process specific to those exempt or released activities.

AUDIT OBJECTIVES

1. To verify that WHC has, in place, an approved QA program applicable to the criteria within the scope of this audit.
2. To verify that the QA program meets the hierarchy requirements (BQARD and QA Plan DOE-RL 86-6).
3. To verify that the implementation of the QA program criteria applicable to this audit, is achieving the intended purpose(s).
4. To verify that satisfactory actions have been taken or controls are in place to address open, previously initiated DOE Findings and Concerns.

SCHEDULE OF AUDIT ACTIVITIES

Table 3 presents the planned schedules for each subteam.

AUDIT FINDINGS, CONCERNS AND OBSERVATIONS

In view of the wide variation in the "definition" of audit "findings", "concerns" and "observations" it is necessary that a brief explanation of each be discussed. Table 4 provides the details of what constitutes a "finding", "concern", and "observation".

The Table 4 information is planned for use during Audit 8705 and is based on discussions project participants have previously held on the subject. The audit team leader in conjunction with appropriate audit team members will determine the proper classification of each of the audit results.

AUDIT CHECKLISTS

Attachment A is the basic checklist prepared from the hierarchy requirements and applicable WHC procedures and is arranged in order by QA Criterion. The specific technical questions developed by the Technical Advisors have been included throughout the content of the checklists. Upon

completion of the audit these checklists will become a permanent part of the audit 8705 records.

TABLE 1
TO AUDIT 8705 PLAN
AUDIT SCOPE

CRIT.	TITLE	SCOPE	AUDITOR TECH. ADV.
4.0	Procurement Doc. Control	WHC and MPP Interface	Young, Lesh, Kasch
7.0	Control of Purch. Equip., Mat'l. and Services	WHC and MPP	Young, Lesh, Pearson, Kasch
8.0	Identification and Control of Mat'ls., Parts, and Components	BWIP Material Receiving and Storage	Young, Lesh, Pearson, Kasch
9.0	Control of Special Processes	BWIP Activities	Hans, Mitchell
10.0	Inspection	BWIP Activities	Hans
12.0	Control of Measuring and Test Equipment	BWIP Activities	Hans, Mitchell
13.0	Handling, Shipping and Storage	BWIP Activities	Hans
14.0	Inspection, Test and Operating Status	BWIP Activities	Hans, Mitchell

NOTE: Lesh, Pearson and Mitchell are assigned as Technical
Advisors.

Observers (NRC, States and Tribes, etc.) will be
accommodated during the audit on a daily basis.

Results of Recent Audits and Surveillances

Audit 8704 - Westinghouse

- The Records Management System is incomplete and not fully implemented.
- Lack of training to Project Directives
- Control and use of Project Directives is inconsistent with QA Program requirements.
- 12 Concerns related to procedural noncompliance and incomplete document control system.

TABLE 3

SUBTEAM 'A' SCHEDULE

WEEK 1

DAY	DATE	TIME	ACTIVITY	CONTACT/ LOCATION
MON	11/9	11:00 AM	ENTR. MTG.	FED. BLDG. G-53
TUES	11/10	8:30 - 12:00 1:00 - 3:00	PROCUREMENT CONTROL	A. DUNNING CDC-2
WEDS	11/11	8:30 - 12:00 1:00 - 3:00	PROCUREMENT CONTROL	A. DUNNING CDC-2
THURS	11/12	8:30 - 12:00 1:00 - 3:00	PROCUREMENT CONTROL	A. DUNNING CDC-2
FRI	10/13	8:30 - 3:00	AUDIT CAUCUS	F.B. G-53

TABLE 3

SUBTEAM 'A' SCHEDULE

WEEK 2

DAY	DATE	TIME	ACTIVITY	CONTACT/ LOCATION
MON	11/16	8:30 - 12:00 1:00 - 3:00	MATERIAL CONTROL	J. LAUCK WHC WHSE.
TUES	11/17	8:30 - 12:00 1:00 - 3:00	PROCUREMENT CONTROL	A. DUNNING CDC-2
WEDS	11/18	8:30 - 12:00 1:00 - 3:00	PROCUREMENT CONTROL	A. DUNNING CDC-2
THURS	11/19	9:30 - 3:00	AUDIT CAUCUS	F.B. RM 180
FRI	11/20	10:00 AM	EXIT MEETING	F.B. G-53

TABLE 3

SUBTEAM 'B' SCHEDULE

WEEK 1

DAY	DATE	TIME	ACTIVITY	CONTACT/ LOCATION
MON	11/9	11:00 AM	ENTR. MTG.	FED. BLDG. G-53
TUES	11/10	8:30 - 12:00 1:00 - 3:00	SPECIAL PROCESS	M. QUINN 300 AREA
WEDS	11/11	8:30 - 12:00 1:00 - 3:00	INSPECTION	M. QUINN 300 AREA
THURS	11/12	8:30 - 12:00 1:00 - 3:00	M & TE	D. PRICE 300 AREA
FRI	11/13	8:30 - 12:00	AUDIT CAUCUS	F.B. G-53

TABLE 3

SUBTEAM 'B' SCHEDULE

WEEK 2

DAY	DATE	TIME	ACTIVITY	CONTACT/ LOCATION
MON	11/16	8:00 AM	CONTROL OF M & TE	D. PRICE 2101M BLDG.
TUES	11/17	8:30 - 12:00 1:00 - 3:00	HANDLING, STOR. SHIPPING	A. DUNNING CDC-2
WEDS	11/18	8:30 - 12:00 1:00 - 3:00	INSP. & TEST STATUS	M. QUINN
THURS	11/19	9:30 - 3:00	AUDIT CAUCUS	F.B. RM. 180
FRI	11/20	10:00 AM	EXIT MEETING	FED. BLDG. G-53

TABLE 4

AUDIT: FINDING CONCERN OBSERVATION



- RESULTS FROM OBJECTIVE EVIDENCE EXAMINATION
- EVALUATION ESTABLISHES SIGNIFICANT CONDITION ADVERSE TO QUALITY (NQA-1, SUPP. S-1)
- OR, FAILURE OF A CONTROL SYSTEM TO ACHIEVE THE THE INTENDED PURPOSE
ie., VIOLATION OF REQUIREMENTS WHICH COULD LEAD TO REDUCED PRODUCT QUALITY
- MAY SUMMARIZE NUMEROUS SMALL ANOMALIES
- REQUIRES RESPONSE INCLUDING ROOT CAUSE, ACTION TO PREVENT RECURRENCE, IMPACT ON COMPLETED WORK BESIDES CORRECTIVE ACTION.

TABLE 4

AUDIT: FINDING CONCERN OBSERVATION



- RESULTS FROM OBJECTIVE EVIDENCE EXAMINATION
- IS NONCOMPLIANCE TO REQUIREMENT (S) WHICH WOULD NOT LEAD TO REDUCED PRODUCT QUALITY.
- REQUIRES DOCUMENTATION OF CORRECTIVE ACTION
(RESPONSE FROM AUDITED ORGANIZATION IS ONE FORM OF CORRECTIVE ACTION DOCUMENTATION)
- EXAMPLES: MISSING ENTRY ON A TRAINING RECORD WHERE TRAINING CAN BE VERIFIED IN ANOTHER WAY

TABLE 4

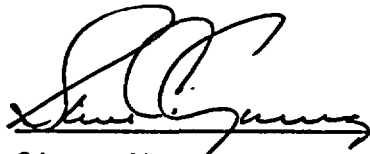
AUDIT: FINDING CONCERN OBSERVATION




- IS A WRITTEN EXPRESSION OF AN AUDITOR'S OPINION ON A PERCEIVED QUALITY-AFFECTING CONDITION.
- MAY REFLECT INSUFFICIENT INVESTIGATION OF A CONDITION TO IDENTIFY IT AS A FINDING OR CONCERN.
- NEED NOT BE RESPONDED TO.
- LEAD AUDITOR IN CONJUNCTION WITH AUDIT TEAM AND AUDITED ORGANIZATION DETERMINES THE PROPER CLASSIFICATION OF EACH OF THE AUDIT RESULTS.
ie., FINDINGS/CONCERNS/OBSERVATIONS

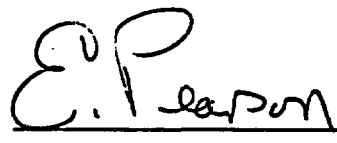
DOE-RL QA AUDIT 8705
BASALT WASTE ISOLATION PROJECT
CHECKLISTS

Prepared by:

Subteam Lead:  10/27/87
Steve Young Date


Subteam Lead:  10/27/87
Steve Hans Date

Technical Advisor:  11/29/87
J. Lesh Date

Technical Advisor:  10/27/87
E. Pearson Date

Technical Advisor:  10/27/87
M. Mitchell Date

Approved by:

Audit Team Lead:  10.27.87
T.K. Subramanian Date

- NOTE 1:** The audit checklist identifies applicable BQARD Criterion and requirements from which the audit questions were developed. In addition, the applicable Program Element numbers are identified to relate the checklist questions to the DOE-RL QSD audit handbook program elements.
- NOTE 2:** Questions prepared by the Technical Advisors have been incorporated into the overall checklist. Additional questions may be generated by the auditors and Technical Advisors prior to and during the conduct of the audit.
- NOTE 3:** Selection of items for review during the audit (e.g., Purchase Orders, M&TE items, etc.) will be based on Technical Advisors input in addition to the traditional random selection methods.
- NOTE 4:** While answering the checklist questions please treat the following as significant:
- (1) Document the specific:
 - Items or activities examined.
 - Requirement(s) against which the compliance was verified.
 - Rationale for excluding any major (relevant) items or activities from the verification chain. (e.g., no activity is going on for meaningful audit in that area.)
 - (2) Please ensure that the completed checklist(s) provide a credible trail as to:
 - The items/activities examined.
 - The requirements not complied with.
 - Confirmation of technical adequacy by the Technical Advisor, where applicable, and clearly leads up to the Audit Findings/Concerns or Observations.
 - (3) As a part of audit preparation, gather data and answer the checklist questions of the type:

"Have procedures been prepared ...to address criterion xxx, requirement xxx."

AUDIT CHECKLIST

AUDIT NO. 8705
AUDIT QUESTION # _____
PAGE 1 OF 4

BOARD CRITERION <u>4</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>4.1, 4.3 & 7.1</u>	
REQUIREMENT: MPPM 6-105, REV. 3 - "DIRECTION OF TECHNICAL WORK" <u>Para. 6.4 - Review, Approval, and Release of Statement of Work to the Construction Manager -</u> "1. The preparer initiates a review by providing a copy of the SOW to each affected BWIP administrative and technical organization;...The preparer resolves all review comments and closes each RCR with the reviewer." "2. The preparer compiles the final copy of the SOW package including the SOW (with accepted review comments incorporated),..." "3. The preparer obtains required signatures (Fig A-1) for approval of the SOW package." "4. The preparer provides the approved SOW package to the approval authority..." "5. The preparer transmits a copy of the approved SOW and closed RCRs package to BDC per MPPM 8-121." "6. The preparer revises the SOW when necessary during the performance of work controlled by the SOW. The revised SOW...requires the same approvals as the original SOW."	
QUESTION(S): 1. Are the SOWs issued to the Construction Manager in compliance with the requirements specified above? <div style="text-align: right; margin-top: 20px;">YES _____ NO _____</div>	
OBJECTIVE EVIDENCE: 	

[8705.4.1&3&7.1.B2]

AUDIT CHECKLIST

AUDIT NO. 8705

AUDIT QUESTION #

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BOARD CRITERION <u>4</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>4.1, 4.3 and 7.1</u>	
<p>REQUIREMENT: PMPM 6-105, REV. 3 - "DIRECTION OF TECHNICAL WORK" Para. 6.3 - <u>Review, Approval, and Release of Statement of Work to Offsite Architect/Engineer</u> -</p> <p>"1. The preparer initiates a review by providing a copy of the SOW to each affected BWIP administrative and technical organization; obtains concurrence from the dognizant manager on reviewer selection. The preparer resolves all erview comments and closes each RCR with the reviewer." "2. The preparer compiles the final copy of the SOW (with accepted comments incorporated),..." "4. The preparer obtains required signatures for approval of the SOW package..." "6. The preparer resolves and incorporates any DOE-RL comments on the SOW, and notifies the persons that approved the SOW of the changes." "7. The preparer transmits complete copies of the issued SOW and closed RCRs to BDC per PMPM 8-121."</p>	
<p>QUESTION(S):</p> <p>1. Are the SOWs issued to the offsite Architect/Engineer in compliance with the requirements specified above?</p> <p style="text-align: right;">YES <u> </u> NO <u> </u></p>	
OBJECTIVE EVIDENCE:	

[8705.4.1&3&7.1.B2]

AUDIT CHECKLIST

AUDIT NO. 8705
 AUDIT QUESTION #
 PAGE 3 OF 4

BQARD CRITERION <u>4</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>4.1, 4.3 and 7.1</u>	
<p>REQUIREMENT: MPPM 6-105, REV. 3 - "DIRECTION OF TECHNICAL WORK" Para. 6.5 - <u>Review, Approval, and Release of Statement of Work to Other Major Project Participants</u> -</p> <p>"1. The preparer initiates a review by providing a copy of the SOW to each affected BWIP administrative and technical organization;...The preparer resolves all review comments and closes each RCR with the reviewer." "2. The preparer compiles the final copy of the SOW package including the SOW package." "3. The preparer obtains required signatures for approval of the SOW package." "5. The preparer transmits a copy of the approved SOW and closed RCRs package to BDC per MPPM 8-121." "6. The preparer revises the SOW when necessary during the performance of work controlled by the SOW. The revised SOW...requires the same approvals as the original SOW."</p>	
<p>QUESTION(S):</p> <p>1. Are the SOWs issued to other MPPs in compliance with the requirements specified above?</p> <p style="text-align: right; margin-top: 20px;">YES <u> </u> NO <u> </u></p>	
OBJECTIVE EVIDENCE:	

[8705.4.1&3&7.1.B2]

AUDIT CHECKLIST

AUDIT NO. 8705
AUDIT QUESTION #
PAGE 4 OF 4

BQARD CRITERION <u>4</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>4.1, 4.3 and 7.1</u>	
REQUIREMENT: PMPM 6-105, REV. 3 - "DIRECTION OF TECHNICAL WORK" Para. 6.6 - <u>Review, Approval, and Release of Letter of Instruction to Onsite Contractors Not Functioning As Major Project Participants</u> - "1. The preparer initiates a review by providing a copy of the LOI to each affected BWIP administrative and technical organization;...The preparer resolves all review comments and closes each RCR with the reviewer." "2. The preparer compiles the final copy of the LOI package, including the LOI (with review comments incorporated)..." "3. The preparer completes the procurement requisition documents for a work order per PMPM 6-114. The LOI is processed and signatures acquired from this point as a part of the work order..."	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Are the LOIs issued to onsite contractors who are not MPPs in compliance with the stipulated requirements? <p style="text-align: right;">YES <u> </u> NO <u> </u></p>	
OBJECTIVE EVIDENCE:	

[8705.4.1&3&7.1.B2]

BOARD CRITERION <u>4</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>4.1</u>	
REQUIREMENT: PMPM 6-124, REV. 0 - "PROPOSAL EVALUATION AND AWARD" Para. 6.2.1 - <u>BWIP Purchasing Buyer</u> - "Prepare Abstract and Tabulation of Bids (Fig. 1) listing the proposals in the order they were received and opened. All pertinent information shall be entered on the form as indicated." Para. 6.2.4 - <u>BWIP Purchasing Buyer</u> - "Prepare Internal Letter requesting originator, technical, and quality evaluation of the proposal, and distribute for review." Para. 6.3.4 - <u>BWIP Quality Assurance Manager</u> - "Assure that the proposal is reviewed for compliance to Quality Requirements. Provide written evaluation to the Buyer." Para. 6.3.5 - <u>Originator</u> - "Review proposals to assure that intent of requisition has been met. Provide written evaluation to the Buyer." Para. 6.3.6 - <u>Technical Representative</u> - "Review proposals to assure that all technical requirements have been met. Provide written evaluation to the Buyer."	
QUESTION(S): 1. Is purchasing maintaining the Abstract and Tabulation of Bids as required? <div style="text-align: right; margin-right: 100px;"> YES <u> </u> NO <u> </u> </div> 2. Is the Buyer initiating the required internal letter requiring evaluation of the proposal for all proposals? <div style="text-align: right; margin-right: 100px;"> YES <u> </u> NO <u> </u> </div> 3. Are reviews being performed and documented in writing of all proposals? <div style="text-align: right; margin-right: 100px;"> YES <u> </u> NO <u> </u> </div> 4. Does the Buyer maintain copies of this documentation? <div style="text-align: right; margin-right: 100px;"> YES <u> </u> NO <u> </u> </div>	
OBJECTIVE EVIDENCE:	

AUDIT CHECKLIST

AUDIT NO. 8705
AUDIT QUESTION #
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BQARD CRITERION <u>4</u>	REQUIREMENT NO. 1 <u> </u>
CORRESPONDING PROGRAM ELEMENT <u>4.1</u>	
REQUIREMENT: PMPM 6-120, REV. 3 - "BWIP PROCUREMENT PROCESS" Para. 6.25 - <u>Basalt Waste Isolation Project Quality Assurance</u> - "Audits purchase orders to assure inclusion of purchase requisition quality requirements."	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Is the BWIP QA organization auditing all purchase orders for inclusion of purchase requisition quality requirements? <p style="text-align: right;">YES <u> </u> NO <u> </u></p>	
OBJECTIVE EVIDENCE:	

[8705.1/4.1.B2]

AUDIT CHECKLIST

AUDIT NO. 8705
AUDIT QUESTION #
PAGE 3 OF 7

BQARD CRITERION <u>4</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>4.1</u>	
REQUIREMENT: PMPM 6-116, REV. 1 - "PROCUREMENT DOCUMENT CONTROL" Para. 5.1 - <u>Requirements</u> - "Dual files of procurement documents shall be maintained during the procurement activity. Purchasing shall maintain a file of procurement documents until two years after Purchase Order (PO) close-out. The Basalt Records Management Center (BRMC) shall maintain a permanent file of procurement documents for the life of the project."	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Does purchasing maintain a file of procurement documents until two years after PO close-out? YES <u> </u> NO <u> </u> 2. Does BRMC maintain a permanent file of procurement documents for the life of the project? YES <u> </u> NO <u> </u> YES <u> </u> NO <u> </u>	
OBJECTIVE EVIDENCE:	

[8705.1/4.1.B2]

AUDIT CHECKLIST

AUDIT NO. 8705
AUDIT QUESTION #
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BQARD CRITERION <u>4</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>4.1</u>	
REQUIREMENT: PMPM 6-116, REV. 1 - "PROCUREMENT DOCUMENT CONTROL" Para. 6.1.9 - <u>Document Control Unit</u> - "Establish a purchase order file. Establish vendor data tracking if order requires." Para. 6.2.5 - <u>Document Control Unit</u> - "Establish a work order file. Establish vendor data tracking if order requires."	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Has the document control unit established a purchase order file and is it up-to-date? YES <u> </u> NO <u> </u> 2. Has the document control unit established a purchase order vendor data file and is it up-to-date? YES <u> </u> NO <u> </u> 3. Has the document control unit established a work order file and is it up-to-date? YES <u> </u> NO <u> </u> 4. Has the document control unit established a work order vendor data file and is it up-to-date? YES <u> </u> NO <u> </u>	
OBJECTIVE EVIDENCE:	

[8705.1/4.1.B2]

BQARD CRITERION <u>4</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>4.1</u>	
REQUIREMENT: PMPM 6-120, REV. 3 - "BWIP PROCUREMENT PROCESS" Para. 5.3 - <u>Requirements</u> - "Any Supplier Deviation Requests (SDRs) received during the bid cycle or after bid award shall be reviewed and dispositioned by the same organizations who reviewed and approved the bid package. Also, the Implementing Technical Organization shall assure that SDR's affecting design contractor (e.g., Architect-Engineer) include the design contractor in the review and disposition of the SDR."	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Is the Supplier Deviation Requests system in effect and being utilized by WHC Purchasing? <div style="text-align: right;">YES <u> </u> NO <u> </u></div> 2. Are SDRs being reviewed by the same organizations who approved the bid package? <div style="text-align: right;">YES <u> </u> NO <u> </u></div> 3. Are SDRs from the A/E and other organizations performing design being reviewed by the design contractor? <div style="text-align: right;">YES <u> </u> NO <u> </u></div>	
OBJECTIVE EVIDENCE:	

[8705.1/4.1.B2]

AUDIT CHECKLIST

AUDIT NO. 8705
AUDIT QUESTION # _____
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BQARD CRITERION <u>4</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>4.1</u>	
REQUIREMENT: PMPM 6-120, REV. 3 - "BWIP PROCUREMENT PROCESS" Para. 5.4 - <u>Requirements</u> - "Procurement document changes shall be subject to the same degree of control as utilized in the preparation of the original documents (See PMPM 6-114)."	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Are changes to procurement documents reflected on the documents and receiving the same reviews as the original? <p style="text-align: right;">YES _____ NO _____</p>	
OBJECTIVE EVIDENCE:	

AUDIT CHECKLIST

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BQARD CRITERION <u>4</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>4.1</u>	
REQUIREMENT: PMPM 6-120, REV. 3 - "BWIP PROCUREMENT PROCESS" Para. 6.12, <u>BWIP Purchasing</u> - "Develops and maintains Qualified Bidders List." Para. 6.17, <u>BWIP Purchasing</u> - "Maintains evaluation rating of vendors and updates as new inputs are received."	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Does BWIP Purchasing maintain the Qualified Bidders List? YES <u> </u> NO <u> </u> 2. Does BWIP Purchasing maintain an evaluation rating of vendors and updates in a timely manner as new inputs are received? YES <u> </u> NO <u> </u>	
OBJECTIVE EVIDENCE:	

[8705.1/4.1.B2]

BOARD CRITERION <u>4</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>4.1, 4.2 and 4.3</u>	
REQUIREMENT: PMPM 6-114, REV. 7 - "PROCUREMENT REQUISITION, DOCUMENTATION AND REVIEW" Para. 6.1.1 - <u>Quality Levels 1 & 2</u> - "Identifies if items or services are quality level 1, 2, or 3 (see the Project Management Procedures Manual [PMPM] 4-121). ...Identify at the top of the purchase requisition document as either, quality level 1, quality level 2, or quality level 3. If more than one page, each page must be identified." Para. 6.1.2 - "Reviews Required Document Checklist (Fig. 2) and identifies required documentation. If vendor data is required, the originator prepares a Data Item List (DIL)...Prepares Data Requirement Specification (DRS) if required...Fills out Vendor Data Review/Distribution Assignment Sheet as required, if vendor data is required." Para. 6.1.4 - "Make up a procurement requisition document package consisting of a PR/WL/SOW or LOI, DIL (if required), appropriate DRSS (if required), Required Document Checklist, and Procurement Document Checklist for use by the qualified reviewer and Quality Assurance (QA), and any other attachments pertinent to the procurement identified by the originator."	
QUESTION(S): 1. Are purchase requisitions clearly identified as to quality level and is this shown on each attachment to the PR? <div style="text-align: right;"> YES <u> </u> NO <u> </u> </div> 2. Is the originator determining quality levels based on appropriate documents (i.e., QEB, Post Closure, etc.)? YES <u> </u> NO <u> </u> 3. Does the originator complete and provide the following in the procurement data package: Required Document Checklist identifying required data?; Data Item List?; Data Requirement Specification?; Vendor Data Review/Distribution Assignment Sheet? <div style="text-align: right;"> YES <u> </u> NO <u> </u> </div> 4. Are the Procurement Requisition Packages Complete? <div style="text-align: right;"> YES <u> </u> NO <u> </u> </div>	
OBJECTIVE EVIDENCE:	

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BQARD CRITERION <u>4</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>4.1, 4.2 and 4.3</u>	
REQUIREMENT: PMPM 6-114, REV. 7 - "PROCUREMENT REQUISITION, DOCUMENTATION AND REVIEW" Para. 6.1.14 - <u>AP&PM, Manager or designee</u> - "Verifies to see if the procurement is listed on the Advanced Procurement Plan (APP), and updates the APP to reflect procurement status." Para. 6.1.19 - <u>AP&PM, Manager or designee</u> - "Prepares Material Order Record (ref. PMPM 6-116)..."	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Is the APP being updated as each procurement package is processed? <p style="text-align: right;">YES <u> </u> NO <u> </u></p> 2. Is the Material Order Record being completed by the AP&PM as required? <p style="text-align: right;">YES <u> </u> NO <u> </u></p> <p style="text-align: right;">YES <u> </u> NO <u> </u></p>	
OBJECTIVE EVIDENCE:	

[8705.4_1&2&3.B2]

BQARD CRITERION <u>4</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>4.1, 4.2 and 4.3</u>	
REQUIREMENT: PMPM 6-114, REV. 7 - "PROCUREMENT REQUISITION, DOCUMENTATION AND REVIEW" Para. 6.1.15 - <u>BWIP QA PQU</u> - "Reviews procurement requisition document and Procurement Document Checklist for quality level and quality assurance requirements. Reviews quality level assignment against the applicable engineering documents such as design specification, "Q-List", or the Report of Quality Evaluation Board (see PMPM 4-121). If the above documents are not available, PQU and the responsible technical organization shall perform an evaluation consistent with the guidelines in PMPM 4-121."	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Are the quality levels reflected in either the design specification, Q-List or the Report of Quality Evaluation Board? YES _____ NO _____ 2. If the quality levels are not reflected in these documents, did an analysis get performed by PQU and the responsible technical organization? YES _____ NO _____ 3. Did the analysis comply with the requirements of PMPM 4-121? YES _____ NO _____	
OBJECTIVE EVIDENCE:	

[8705.4_1&2&3.B2]

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BOARD CRITERION <u>4 & 7</u>	REQUIREMENT NO. <u>2</u>
CORRESPONDING PROGRAM ELEMENT <u>7.2 & 7.3</u>	
REQUIREMENT: PMPM 6-106, REV. 1 - "SUPPLIER'S QUALIFICATION AND EVALUATION" Para. 4.1.3 - "All Quality Level I & II procurement packages shall require the bidder to submit and have approved their QA program prior to the start of any quality controlled work, but in no case later than 30 days after award of contract, without being subject to contract termination." Para. 4.1.4 - "Provide a copy of the applicable portion of the bidder's proposal to the technical group and to the BWIP QA Department for review and evaluation of the supplier's technical capability and QA program." Para. 6.1.10 and 6.2.6 - "Revisions to procurement documents shall be reviewed and approved by the technical group and QA prior to issuance of the PO."	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Have all level I & II suppliers had their QA Program approved prior to award of the contract? <div style="text-align: right;">YES <input type="checkbox"/> NO <input type="checkbox"/></div> 2. Is the bidder's proposal being submitted to Qa for review and evaluation of the supplier's technical capabilities prior to award of the contract? <div style="text-align: right;">YES <input type="checkbox"/> NO <input type="checkbox"/></div> 3. Are revisions of procurement documents reviewed by the technical group and QA prior to issuance of the PO? <div style="text-align: right;">YES <input type="checkbox"/> NO <input type="checkbox"/></div>	
OBJECTIVE EVIDENCE:	

[8705.7.2&3.B2]

BOARD CRITERION <u>4 & 7</u>	REQUIREMENT NO. <u>2</u>
CORRESPONDING PROGRAM ELEMENT <u>7.1</u>	
REQUIREMENT: PMPM 6-106, REV. 1 - "SUPPLIER'S QUALIFICATION AND EVALUATION" Para. 4.4 - <u>Evaluation Team</u> - "1. An evaluation team generally consisting of QA Procurement Quality Unit (QAPU) and technical personnel as a minimum, will provide the onsite evaluation of prospective bidders' technical and quality assurance capability based on their scope of work for the BWIP." Para. 6.1.12 - <u>Onsite Verification of Contractors' Quality Assurance Program</u> - "Subsequent to the award of the contract and prior to any work being performed by the contractor that requires QA controls, an onsite verification of the Contractor's QA program shall be performed by the BWIP QA Department." Para. 4.1.6 - <u>NOTE</u> - "...Deficiencies identified in a bidder's QA program or technical capability shall be resolved prior to the award of the contract."	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Are onsite evaluations performed prior to award of the contract by BWIP Procurement? YES <input type="checkbox"/> NO <input type="checkbox"/> 2. Are the evaluations performed by qualified teams consisting of technical and quality personnel? YES <input type="checkbox"/> NO <input type="checkbox"/> 3. Are deficiencies resolved prior to award of the contract to the supplier? YES <input type="checkbox"/> NO <input type="checkbox"/> <div style="text-align: right; margin-top: 10px;"> YES <input type="checkbox"/> NO <input type="checkbox"/> </div>	
OBJECTIVE EVIDENCE:	

BOARD CRITERION <u>7</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT _____	
REQUIREMENT: 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.	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Have procedures and records been established to assure that purchased (directly or indirectly) equipment conform to procurement documents? <p style="text-align: right;">YES _____ NO _____</p>	
2. Have procedures and records been established to assure that purchased (directly or indirectly) equipment conform to procurement documents? <p style="text-align: right;">YES _____ NO _____</p>	
3. Have procedures and records been established to assure that purchased (directly or indirectly) services conform to procurement documents? <p style="text-align: right;">YES _____ NO _____</p>	
OBJECTIVE EVIDENCE:	

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BQARD CRITERION <u>7</u>	REQUIREMENT NO. <u>2</u>
CORRESPONDING PROGRAM ELEMENT _____	
REQUIREMENT: 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.	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Have procedures been developed for source evaluation and selection? YES _____ NO _____ 2. Have procedures been developed for evaluating evidence of quality furnished by contractor or subcontractor? YES _____ NO _____ 3. Have procedures been developed for inspection at the contractor or subcontractor source? YES _____ NO _____ 4. Have procedures been developed for examination of products upon delivery? YES _____ NO _____	
OBJECTIVE EVIDENCE:	

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BOARD CRITERION <u>7</u>	REQUIREMENT NO. <u>3</u>
CORRESPONDING PROGRAM ELEMENT _____	
REQUIREMENT: 10 CFR 50 APPENDIX B Documentary evidence that material and equipment conform to the procurement requirements shall be available at the repository site prior to installation or use of such material and equipment.	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Is there documentary evidence that material conform to the procurement requirements available at the repository site prior to the installation or use of such material? YES _____ NO _____ 2. Is there documentary evidence that equipment conform to the procurement requirements available at the repository site prior to the installation or use of such equipment? YES _____ NO _____	
OBJECTIVE EVIDENCE:	

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BQARD CRITERION <u>7</u>	REQUIREMENT NO. <u>4</u>
CORRESPONDING PROGRAM ELEMENT _____	
REQUIREMENT: 10 CFR 50 APPENDIX B This documentary evidence shall be retained at the repository site and shall be sufficient to identify the specific requirements, such as codes, standards, or specifications, met by the purchased material and equipment.	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Is there documentary evidence that is sufficient to identify specific requirements, (codes, standards and specifications) met by purchased material? <p style="text-align: right;">YES _____ NO _____</p>	
2. Is there documentary evidence that is sufficient to identify specific requirements (codes, standards and specifications) met by purchased equipment? <p style="text-align: right;">YES _____ NO _____</p>	
OBJECTIVE EVIDENCE:	

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BOARD CRITERION <u>7</u>	REQUIREMENT NO. <u>5</u>
CORRESPONDING PROGRAM ELEMENT _____	
REQUIREMENT: 10 CFR 50 APPENDIX B The effectiveness of the control of quality by contractors and subcontractors shall be assessed by the applicant or designee at intervals consistent with the importance, complexity, and quantity of the product or services.	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Has the IC determined the effectiveness of the contractors and subcontractors quality control at specified intervals for the products procured? <p style="text-align: right;">YES _____ NO _____</p>	
2. Has the IC determined the effectiveness of the contractor and subcontractors quality control at specified intervals for the services procured? <p style="text-align: right;">YES _____ NO _____</p>	
OBJECTIVE EVIDENCE:	

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BQARD CRITERION <u>7</u>	REQUIREMENT NO. <u>2</u>
CORRESPONDING PROGRAM ELEMENT <u>7.2</u>	
REQUIREMENT: PMPM 4-101, REV. 2 - "AUDIT OF SUPPLIER" Para. 6.5, <u>Audit Frequency</u> - "Audit of suppliers will be scheduled on a triennial basis or once within the duration of the contract, whichever is less...The supplier audit schedule shall identify audited organizations or activities, scheduled dates, scope, and frequency...The approved supplier audit schedule shall be reviewed by the Team Lead, PQU, at least quarterly and revised as necessary. The supplier audit schedule including revisions shall be approved by the Manager, Program Integration Section."	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Are audits scheduled on a triennial basis or at least once during the contract if the contract is less than 3 years? YES <u> </u> NO <u> </u>	
2. Does the audit schedule provide the following: - Organization or activities - Scheduled date - Scope - Frequency YES <u> </u> NO <u> </u>	
3. Is the audit schedule reviewed at least quarterly by the Team Lead, PQU and is the schedule and revisions to the schedule approved by the Manager, Program Integration Section? YES <u> </u> NO <u> </u>	
OBJECTIVE EVIDENCE:	

[8705.2/7.2.B2]

BOARD CRITERION <u> 7 </u>	REQUIREMENT NO. <u> 2 </u>
CORRESPONDING PROGRAM ELEMENT <u> 7.2 </u>	
REQUIREMENT: PMPM 4-101, REV. 2 - "AUDIT OF SUPPLIER" Para. 6.15 - <u>Tracing and Trending</u> - "Tracking and trending of audit findings and observations will be performed per PMPM 1-111 and 4-111, respectively. In addition, a log shall be maintained by the Team Lead, PQU, for audit findings and observations. The log shall include as a minimum: - Audit number - Finding/observation number - Report issue date - Response commitment date - Response received date - Corrective action commitment date - Date of corrective action verification"	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Is the Team Lead, PQU, maintaining the log as required in a timely manner?	
YES <u> </u> NO <u> </u>	
OBJECTIVE EVIDENCE:	

BOARD CRITERION <u>7</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>7.1</u>	
REQUIREMENT: PMPM 6-112, REV. 2, "PROCUREMENT PLANNING ACTIVITIES" Paragraph 6.1.4 - <u>for Fiscal Year Advanced Procurement Plan.</u> The AP&PM... "Updates procurement plan to reflect changes or revisions identified by CAMs". Paragraph 6.1.6 - <u>for Fiscal Year Advanced Procurement Plan.</u> The AP&PM..."Inputs fiscal year acquisitions and schedules into procurement data base using Procurement Data Input Forms." Paragraph 6.2.1 - <u>for Advanced Procurement Plan Status Report.</u> The AP&PM..."Enters any known procurement actions during the month into the procurement data base." Paragraph 6.3.3 - <u>for Changes to Advanced Procurement Plan.</u> The AP&PM... "Updates the procurement plan to reflect changes or revisions identified by CAMs." Paragraph 6.3.5 - <u>for Changes to Advanced Procurement Plan.</u> The AP&PM... "Input changes into the procurement data base."	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Is the Advanced Procurement Plan being updated by the AP&PM on a timely basis utilizing the input from the CAMs? <div style="text-align: right; margin-left: 400px;"> YES <input type="checkbox"/> NO <input type="checkbox"/> </div> 2. Are changes to the Advanced Procurement Plan being incorporated in a timely manner? <div style="text-align: right; margin-left: 400px;"> YES <input type="checkbox"/> NO <input type="checkbox"/> </div> 3. Does the AP&PM update the data base on a timely basis? <div style="text-align: right; margin-left: 400px;"> YES <input type="checkbox"/> NO <input type="checkbox"/> </div>	
OBJECTIVE EVIDENCE:	

BOARD CRITERION <u> 7 </u>	REQUIREMENT NO. <u> 1 </u>
CORRESPONDING PROGRAM ELEMENT <u> 7.1 </u>	
REQUIREMENT: PMPM 6-112, REV. 2, "PROCUREMENT PLANNING ACTIVITIES" Paragraph 6.1.3 - <u>For Fiscal Year Advanced Procurement Plan</u> The Cost Account Manager..."Reviews FY APP data against approved Cost Account Authorizations/Cost Account Plans. Fill out the Procurement Data Input Form (Fig. 1), for planned procurements." Paragraph 6.3.1 - <u>for changes to the Advance Procurement Plan Status Report</u> . The Cost Account Manager..."Fills out the Procurement Data Input Form (Fig. 1) and identifies in the comment section whether this input is an addition, revision or deletion."	
ADDITIONAL REQUIREMENTS:	
QUESTION(S):	
1. Are the Procurement Data Input Forms being completed by the Cost Account Manager for planned procurements and revisions to the Advanced Procurement Plan? YES <input type="checkbox"/> NO <input type="checkbox"/>	
OBJECTIVE EVIDENCE:	

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BOARD CRITERION <u>4 & 7</u>	REQUIREMENT NO. <u>2</u>
CORRESPONDING PROGRAM ELEMENT <u>7.1</u>	
REQUIREMENT: PMPM 6-106, REV. 1 - "SUPPLIER'S QUALIFICATION AND EVALUATION" Para. 4.4 - <u>Evaluation Team</u> - "1. An evaluation team generally consisting of QA Procurement Quality Unit (QAPU) and technical personnel as a minimum, will provide the onsite evaluation of prospective bidders' technical and quality assurance capability based on their scope of work for the BWIP." Para. 6.1.12 - <u>Onsite Verification of Contractors' Quality Assurance Program</u> - "Subsequent to the award of the contract and prior to any work being performed by the contractor that requires QA controls, an onsite verification of the Contractor's QA program shall be performed by the BWIP QA Department." Para. 4.1.6 - <u>NOTE</u> - "...Deficiencies identified in a bidder's QA program or technical capability shall be resolved prior to the award of the contract."	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Are onsite evaluations performed prior to award of the contract by BWIP Procurement? YES <input type="checkbox"/> NO <input type="checkbox"/> 2. Are the evaluations performed by qualified teams consisting of technical and quality personnel? YES <input type="checkbox"/> NO <input type="checkbox"/> 3. Are deficiencies resolved prior to award of the contract to the supplier? YES <input type="checkbox"/> NO <input type="checkbox"/> <div style="text-align: right; margin-top: 10px;"> YES <input type="checkbox"/> NO <input type="checkbox"/> </div>	
OBJECTIVE EVIDENCE:	

[8705.2/7.1.82]

BOARD CRITERION <u>7</u>		REQUIREMENT NO. <u>2</u>	
CORRESPONDING PROGRAM ELEMENT <u>7.4</u>			
REQUIREMENT: MPM 6-107, REV. 2, "SOURCE INSPECTION"			
Paragraph 5.1 - Source Inspection - "Source inspection shall be performed at a supplier's facility based on the following conditions as a minimum: <ul style="list-style-type: none">- Quality class/level- Complexity of engineering and/or manufacture- Criticality of dimensions- Supplier history of quality- Cost of replacement due to failure- Schedule- Critical nature on in-plant testing, both fabrication and performance." Paragraph 4.2 - Procurement Quality Unit -- Quality Assurance Engineer - "The Procurement Quality Unit--Quality Assurance Engineer (PQU-QAE) shall be responsible for source inspection planning, review of supplier data package, preparation of the PIP, performance of source inspections and assesting the buyer and/or supplier with quality-related matters."			
QUESTION(S):			
1. Have source inspections been planned and performed in accordance with the requirements of this procedure?			
		YES _____	NO _____
OBJECTIVE EVIDENCE:			

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BQARD CRITERION <u>7</u>	REQUIREMENT NO. <u>2</u>
CORRESPONDING PROGRAM ELEMENT <u>7.4</u>	
REQUIREMENT: PMPM 6-107, REV. 2 - "SOURCE INSPECTION" Paragraph 5.2 - <u>Technical Assistance</u> - "In the event that source inspection is required on items that require certain technical skills, the PQU-QAW may request the assistance of a qualified technical representative." Paragraph 5.4 - <u>Qualifications</u> - "The PQU personnel assigned to perform source inspection shall be certified to perform the particular type of source inspection in accordance with PMPM 13-102." Paragraph 6.2 - <u>Quality Assurance Procurement Inspection Plan</u> - "The PQU-QAE shall prepare a PIP (Fig 1), identifying the inspection requirements necessary to verify conformance to the procurement documents inspection requirements may include but are not limited to the following:.."	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Are Technical experts being utilized on complex source inspection activities? YES _____ NO _____ 2. Are PQU personnel performing source inspection certified in accordance with the requirements of PMPM 13-102? YES _____ NO _____ 3. Does a PIP exist for source inspections performed? YES _____ NO _____	
OBJECTIVE EVIDENCE:	

[8705.2/7.4.B2]

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BQARD CRITERION <u>8</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT _____	
REQUIREMENT: 10 CFR 50 APPENDIX B Measures shall be established for the identification and control of materials, parts, and components, including partially fabricated assemblies.	
ADDITIONAL REQUIREMENTS: WHC-CM-7-2, Rev. 3, Sec. C; Chapter 8, Paras. 3.1 and 3.2	
QUESTION(S): 1. Are procedural requirements established for the identification of materials, parts, components and partially fabricated assemblies? <p style="text-align: right;">YES _____ NO _____</p>	
2. Are procedural requirements established for the control of materials, parts, components and partially fabricated assemblies? <p style="text-align: right;">YES _____ NO _____</p> <p style="text-align: right;">YES _____ NO _____</p>	
OBJECTIVE EVIDENCE:	

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BQARD CRITERION <u>8</u>	REQUIREMENT NO. <u>2</u>
CORRESPONDING PROGRAM ELEMENT _____	
REQUIREMENT: 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.	
ADDITIONAL REQUIREMENTS: WHC-CM-7-2, Rev. 3, Sect. C; Chapter 8, Paras 3.14 and 3.15	
QUESTION(S): 1. Are procedural requirements established that require the identification of an item to be maintained by heat number, part number or serial number? YES _____ NO _____ 2. Is this identification on the item? YES _____ NO _____ 3. Is this identification on records traceable to the item? YES _____ NO _____ 4. Is this identification required throughout fabrication, erection, installation and ultimate use? YES _____ NO _____	
OBJECTIVE EVIDENCE:	

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BQARD CRITERION <u>8</u>	REQUIREMENT NO. <u>3</u>
CORRESPONDING PROGRAM ELEMENT _____	
REQUIREMENT: 10 CFR 50 APPENDIX B These identification and control measures shall be designed to prevent the use of incorrect or defective material, part, and components.	
ADDITIONAL REQUIREMENTS: WHC-CM-7-3, Rev. 3, Sect. C; Chapter 8, Para. 3.8	
QUESTION(S): 1. Are identification procedural requirements established to prevent the use of incorrect or defective material, parts, and components? YES _____ NO _____ 2. Are control procedural requirements established to prevent the use of incorrect or defective material, parts and components? YES _____ NO _____	
OBJECTIVE EVIDENCE:	

[8705.8/1. .B2]

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BQARD CRITERION <u>9</u>	REQUIREMENT NO. <u>N/A</u>
CORRESPONDING PROGRAM ELEMENT <u>N/A</u>	
REQUIREMENT: BWIP QA PLAN, DOE-RL 86-6, REVISION 2, DATED 2/24/87	
9.0 Control of Special Processes	
9.1 Special Process - Definition	
A special process is one whose outcome cannot be fully characterized by nondestructive methods (i.e., where not all characteristics of the finished item can be evaluated by direct inspection, or direct inspection is disadvantageous).	
MA-3; Section C, Chapter 9-0, Revision 3, Paragraph 1.0 MA-17 PMPM 2-130, Paragraph 3.1	
ADDITIONAL REQUIREMENTS:	
QUESTION(S):	
1. Are the definitions of special process, as outlined in the WHC QA Program, consistent with the QA Plan?	
YES _____ NO _____	
OBJECTIVE EVIDENCE:	

[8705.9.B1]

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BQARD CRITERION <u>9</u>	REQUIREMENT NO. <u>9</u>
CORRESPONDING PROGRAM ELEMENT <u>9.1</u>	
REQUIREMENT: NRC REVIEW PLAN SECTION 9.1 "The criteria for determining those processes that are controlled as special processes are described. As complete a listing as possible of special processes, which are generally those processes where direct inspection is impossible or disadvantageous, if provided." RHO-QA-MA-3, Section C, Chapter 9.0, Revision 3, Paragraph 3.2.1 MPPM 02-130, Paragraph 5.1.2 5.1.2 Master List of Special Processes The integrating contractor (Configuration Management) will maintain a listing of identified special processes.	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Is there a list of processes which are designated as "special", is it maintained by Configuration Management? <div style="text-align: right;"> YES <input type="checkbox"/> NO <input type="checkbox"/> </div> 2. Does the list contain the processes which meet the definition for a special process including major participants? <div style="text-align: right;"> YES <input type="checkbox"/> NO <input type="checkbox"/> </div>	
OBJECTIVE EVIDENCE:	

[8705.9.1/9.1.B1]

BOARD CRITERION <u>9</u>	REQUIREMENT NO. <u>9.4</u>
CORRESPONDING PROGRAM ELEMENT <u>9.4</u>	
REQUIREMENT: BWIP QA PLAN, DOE-RL 86-6, REV. 2, PARAGRAPH 9.3 9.3 Documentation of Performance of Special Processes Where validity of site characterization depends on precise control of processes, procedures will include provisions for in-process documentation of process and parameters in such a manner as to enable after-the-fact reconstruction of affected work. MA-3, Section C, Chapter 9.0, Rev. 3, Paragraph 3.2.5 MA-17 PMPM 2-130, Rev. 0, Paragraph 6.3.1 Where the validity of site characterization activities depends on precise control of processes, procedures will include provision for in-process documentation of process and parameters in such a manner as to enable after-the-fact reconstruction of the activity.	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. For Site Characterization activities which depend on precise control of processes, is it possible to reconstruct the process parameters after-the-fact? <div style="text-align: right;"> YES <u> </u> NO <u> </u> </div>	
OBJECTIVE EVIDENCE:	

[8705.9.4/9.4.B1]

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BOARD CRITERION <u>9</u>	REQUIREMENT NO. <u>9.2</u>
CORRESPONDING PROGRAM ELEMENT <u>9.2</u>	
REQUIREMENT: NRC REVIEW PLAN, SECTION 9.2 Organizational responsibilities, including those for the QA organization, are described for qualification of special processes, equipment, and personnel. RHO-QA-MA-3, Section C, Chapter 9-0, Revision 3, Paragraph 3.2.7 PMPM 04-103, "Surveillances" PMPM 04-108, "Inspection"	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. For the processes identified as "special", have the organizations responsibilities for qualification of processes, equipment, and personnel been described? <p style="text-align: right;">YES <u> </u> NO <u> </u></p>	
OBJECTIVE EVIDENCE:	

[8705.9.2/9.2.B1]

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BQARD CRITERION <u>9</u>	REQUIREMENT NO. <u>9.3</u>
CORRESPONDING PROGRAM ELEMENT <u>9.2</u>	
REQUIREMENT: NRC REVIEW PLAN, SECTION 9.3 & 9.5 Procedures, equipment, and personnel associated with special processes are qualified and are in conformance with applicable codes, standards, QA procedures, and specifications. The QA organization is involved in the qualification activities to help assure they are satisfactorily performed. RHO-QA-MA-3, Section C, Chapter 9.0, Revision 3, Paragraph 3.2.8 PMPM 02-130 PMPM 04-103 PMPM 04-104 PMPM 04-108 PMPM 13-106	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Are the special processes identified presently qualified, is the equipment also qualified when necessary? 2. Are the records of qualification available? 3. Are the individuals using special processed certified as being qualified in accordance with SNT-TC-IA 1980? <div style="text-align: right; margin-top: 20px;"> YES _____ NO _____ </div>	
OBJECTIVE EVIDENCE:	

[8705.9.3/9.2.B1]

AUDIT CHECKLIST

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AUDIT QUESTION # 9.6
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BQARD CRITERION <u>9</u>	REQUIREMENT NO. <u>9.4</u>
CORRESPONDING PROGRAM ELEMENT <u>9.3</u>	
REQUIREMENT: NRC REVIEW PLAN, SECTION 9.4 Procedures are established for recording evidence of acceptable accomplishment of special processes using qualified procedures, equipment, and personnel. No MA-3 incorporation of this requirement. MA-17 #2-130, Revision 0, Paragraph 6.3.3, "Inspection & Test Procedures" Procedures shall be established to define the inspections and/or tests that are performed to verify the acceptability of the special process completion. The inspections and/or tests will be planned in advance.	
ADDITIONAL REQUIREMENTS:	
QUESTION(S): 1. Are measures established which require the recording of evidence of acceptable accomplishment of the special process? 2. Review a sample of special process hold points (HPs). Are the HPs documented as acceptable by certified personnel? <p style="text-align: right;">YES _____ NO _____</p>	
OBJECTIVE EVIDENCE:	

[8705.9.4/9.3.B1]

AUDIT CHECKLIST

AUDIT NO. 8705
AUDIT QUESTION # 10.1
PAGE 1 OF 1

BQARD CRITERION <u>10</u>	REQUIREMENT NO. <u>10.1</u>
CORRESPONDING PROGRAM ELEMENT <u>10.1</u>	
REQUIREMENT: NQA-1-1986, SUPPLEMENTAL 10S-1	
4.1 PLANNING	
Planning for inspection activities shall be accomplished and documented. The documentation shall identify characteristics, methods, and acceptance criteria, and shall provide for recording objective evidence of inspection results.	
ADDITIONAL REQUIREMENTS:	
PMPM 4-108, Paragraph 6.1, Revision 0 and Paragraph 6.2	
QUESTION(S):	
1. Are there procedures for determining and specifying inspection or verification requirements?	
2. Select a sample of QAIPs and assure the inspection plan includes required items?	
YES _____ NO _____	
OBJECTIVE EVIDENCE:	

[8705.10.1/10.1.B1]

AUDIT CHECKLIST

AUDIT NO. 8705
AUDIT QUESTION # 10.2
PAGE 1 OF 1

BQARD CRITERION <u>10</u>	REQUIREMENT NO. <u>10.1</u>
CORRESPONDING PROGRAM ELEMENT <u>N/A</u>	
REQUIREMENT: NQA-1 SUPPLEMENTAL 10 S-1 4.2 SAMPLING Where a sample is used to verify acceptability of a group of items, the sampling procedure shall be based on recognized standard practices.	
ADDITIONAL REQUIREMENTS: PMPM 4-108, Revision 0, Paragraph 6.3	
QUESTION(S): 1. Are there provisions made to use sampling for acceptance of items? 2. When used, are the sample plans based upon and in conformance with, recognized standards? <div style="text-align: right; margin-top: 20px;">YES <input type="checkbox"/> NO <input type="checkbox"/></div>	
OBJECTIVE EVIDENCE:	

[8705.10.1/N/A.B1]

BOARD CRITERION <u>10</u>	REQUIREMENT NO. <u>10.1 & 10.4</u>
CORRESPONDING PROGRAM ELEMENT <u>N/A</u>	
REQUIREMENT: NQA-1-1986, SUPPLEMENTAL 10S-1 5.1 INSPECTION Inspection of items in-process or under construction shall be performed for work activities where necessary to verify quality. If inspection of processed items is impossible or disadvantageous, indirect control by monitoring of processing methods, equipment, and personnel shall be provided. Both inspection and process monitoring shall be provided when control is inadequate without both.	
ADDITIONAL REQUIREMENTS: None, No PMPM identified.	
QUESTION(S): 1. Are provision made to perform in-process inspection? 2. For testing or other activities for which in-process inspection is not appropriate, are provisions made for indirect controls of monitoring process, equipment personnel etc.? 3. Are both in-process inspections and process monitoring used when necessary? <div style="text-align: right; margin-top: 10px;"> YES <u> </u> NO <u> </u> </div>	
OBJECTIVE EVIDENCE:	

[8705.N/A.B1]

AUDIT CHECKLIST

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AUDIT QUESTION # 10.4
PAGE 1 OF 1

BOARD CRITERION <u>10</u>	REQUIREMENT NO. <u>10.1</u>
CORRESPONDING PROGRAM ELEMENT <u>N/A</u>	
REQUIREMENT: NQA-1-1986, SUPPLEMENTAL 10S-1 6.1 RESOLUTION OF NONCONFORMANCE Final inspections shall include a records review of the results and resolution of nonconformances identified by prior inspections. The final inspection shall be planned to arrive at a conclusion regarding conformance of the item to specified requirements.	
ADDITIONAL REQUIREMENTS: PMPM 4-108, Revision 0, Paragraph 5.8	
QUESTION(S): 1. Are there provisions for the accomplishment of a final inspection for activities which require inspections? 2. Does the final inspection include: a. Records review b. Resolution of NCR c. A conclusion of conformance? <p style="text-align: right;">YES <u> </u> NO <u> </u></p>	
OBJECTIVE EVIDENCE:	

[8705.10.1/N/A.B1]

AUDIT CHECKLIST

AUDIT NO. 8705
AUDIT QUESTION # 10.5
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BQARD CRITERION <u>10</u>	REQUIREMENT NO. <u>10.1</u>
CORRESPONDING PROGRAM ELEMENT <u>N/A</u>	
REQUIREMENT: NQA-1-1986, SUPPLEMENTAL 10S-1	
6.2 INSPECTION REQUIREMENTS	
Completed items shall be inspected for completeness, markings, calibration, adjustments, protection from damage, or other characteristics of the item to specified requirements. Quality records shall be examined for adequacy and completeness if not previously so examined.	
ADDITIONAL REQUIREMENTS:	
PMPM	
QUESTION(S):	
1. Are completed items (test etc.) which require inspection subjected to final inspection?	
2. Does the final inspection include the requirements outlined above?	
YES _____ NO _____	
OBJECTIVE EVIDENCE:	

[8705.10.1/N/A.B1]

AUDIT CHECKLIST

AUDIT NO. 8705
AUDIT QUESTION # 10.6
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BOARD CRITERION <u>10</u>		REQUIREMENT NO. <u>10.1</u>
CORRESPONDING PROGRAM ELEMENT <u>N/A</u>		
REQUIREMENT: NQA-1-1986, SUPPLEMENTAL 10S-1 6.3 ACCEPTANCE The acceptance of the item shall be documented and approved by authorized personnel.		
ADDITIONAL REQUIREMENTS: PMPM 4-108		
QUESTION(S): 1. Are provisions made for the identification of "authorized personnel" to accept items? 2. Do the records of previously inspection and accepted items identify acceptance by "authorized individuals"? <p style="text-align: right;">YES <input type="checkbox"/> NO <input type="checkbox"/></p>		
OBJECTIVE EVIDENCE:		

[8705.10.1/N/A.B1]

AUDIT CHECKLIST

AUDIT NO. 8705
 AUDIT QUESTION # 10.7
 PAGE 1 OF 1

BOARD CRITERION <u>10</u>	REQUIREMENT NO. <u>2</u>
CORRESPONDING PROGRAM ELEMENT <u>N/A</u>	
REQUIREMENT: NRC REVIEW PLAN SECTION 10.2 Organizational responsibilities for inspection are described. Individuals performing inspections are part of the QA organization. For inspections requiring special expertise, other individuals may be used provided the independence of the inspection function is maintained.	
ADDITIONAL REQUIREMENTS: PMPM 4-103	
QUESTION(S): 1. Does the QA Program describe the organizational responsibilities for inspection? 2. Are provisions made for inspection personnel to belong to QA organizations? 3. Are provisions made for individuals with specialized expertise to be used for inspections, and still maintain independence? <div style="text-align: right;"> YES _____ NO _____ </div>	
OBJECTIVE EVIDENCE:	

[8705.2/N/A.B2]

AUDIT CHECKLIST

AUDIT NO. 8705
 AUDIT QUESTION # 10.8
 PAGE 1 OF 1

BQARD CRITERION <u>10</u>	REQUIREMENT NO. <u>2</u>
CORRESPONDING PROGRAM ELEMENT <u>N/A</u>	
REQUIREMENT: NRC REVIEW PLAN SECTION 10.3 A qualification program for inspectors is established and documented, and the qualifications and certifications of inspectors are kept current.	
ADDITIONAL REQUIREMENTS: PMPM 13-102 PMPM 13-106	
QUESTION(S): 1. Is there a documented program for the qualification of inspection personnel? 2. From a sample of inspection personnel, are the qualifications and certifications kept current? <div style="text-align: right; margin-top: 10px;"> YES <u> </u> NO <u> </u> </div>	
OBJECTIVE EVIDENCE:	

[8705.2/N/A.B2]

AUDIT CHECKLIST

AUDIT NO. 8705
AUDIT QUESTION # 10.9
PAGE 1 OF 1

BQARD CRITERION <u>10</u>	REQUIREMENT NO. <u>2</u>
CORRESPONDING PROGRAM ELEMENT <u>N/A</u>	
REQUIREMENT: NQA-1 SUPPLEMENT 10 S-1 - 2.2 QUALIFICATION Each person who verifies conformance of work activities for purposes of acceptance shall be qualified to perform the assigned inspection task. Inspections by persons during on-the-job training for qualification shall be performed under the direct observation and supervision of a qualified person and verification of conformance shall be by the qualified person until certification is achieved.	
ADDITIONAL REQUIREMENTS: PMPM 13-102 PMPM 13-106	
QUESTION(S): 1. Are provisions made to assure inspection personnel when assigned, are qualified to perform the assigned inspection task? 2. Are provisions made to assure OJT inspectors are properly supervised and that verification of conformances is done by a qualified inspector? <p style="text-align: right;">YES _____ NO _____</p>	
OBJECTIVE EVIDENCE:	

[8705.2/N/A.B2]

AUDIT CHECKLIST

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 AUDIT QUESTION # 10.10
 PAGE 1 OF 3

BOARD CRITERION <u>10</u>	REQUIREMENT NO. <u>2</u>
CORRESPONDING PROGRAM ELEMENT <u>N/A</u>	
REQUIREMENT: NRC REVIEW PLAN, SECTION 10.3 <p>A qualification program for inspectors is established and documented, and the qualifications and certifications of inspectors are kept current. The intent of this requirement will be met by implementation as stated. In addition, Supplement 10S-1, Sec. 2.2 of NQA-1-1986 will be implemented.</p> <p>2.2 Qualification</p> <p>Each person who verifies conformance of work activities for purposes of acceptance shall be qualified to perform the assigned inspection task. Inspections by persons during on-the-job training for qualification shall be performed under the direct observation and supervision of a qualified person and verification of conformance shall be by the qualified person and verification of conformance shall be by the qualified person until certification is achieved.</p> <p>Certification of inspection personnel will be met by implementation of NQA-1-1986, Supplement 2S-1.</p>	
ADDITIONAL REQUIREMENTS: PMPM 13-102, Paragraph 5.1	
QUESTION(S): 1. Does the approved program for certification of inspection personnel comply with Supplement 2S-1 (attached)? <div style="text-align: right;"> YES <input type="checkbox"/> NO <input type="checkbox"/> </div>	
OBJECTIVE EVIDENCE: 	

[8705.3/N/A.B1]

**SUPPLEMENT 2S-1
SUPPLEMENTARY REQUIREMENTS FOR THE QUALIFICATION OF
INSPECTION AND TEST PERSONNEL**

1 GENERAL

This Supplement provides amplified requirements for the qualification of personnel who perform inspection and testing to verify conformance to specified requirements for the purpose of acceptability. It supplements the requirements of Basic Requirement 2 of this Standard and shall be used in conjunction with that Basic Requirement when and to the extent specified by the organization invoking this Standard. The requirements of this Supplement do not apply to the qualification of personnel for performance of nondestructive examination.

2 CERTIFICATION**2.1 Qualification Requirements**

The responsible organization shall designate those activities that require qualified inspection and test personnel and the minimum requirements for such personnel. Further, the responsible organization shall establish written procedures for the qualification of inspection and test personnel and for the assurance that only those personnel who meet the requirements of this Supplement are permitted to perform inspection and test activities.

When a single inspection or test requires implementation by a team or a group, personnel not meeting the requirements of this Standard may be used in data-taking assignments or in plant or equipment operation, provided they are supervised or overseen by a qualified individual.

2.2 Personnel Selection

Personnel selected for performing inspection and test activities shall have the experience or training commensurate with the scope, complexity, or special nature of the activities.

2.3 Indoctrination

Provisions shall be made for the indoctrination of personnel as to the technical objectives and requirements of the applicable codes and standards and the quality assurance program elements that are to be employed.

2.4 Training

The need for a formal training program shall be determined, and such training activities shall be conducted as required to qualify personnel who perform inspections and tests. On-the-job training shall also be included in the program, with emphasis on first-hand experience gained through actual performance of inspections and tests.

2.5 Determination of Initial Capability

The capabilities of a candidate for certification shall be initially determined by a suitable evaluation of the candidate's education, experience, training, and either test results or capability demonstration.

2.6 Evaluation of Performance

The job performance of inspection and test personnel shall be reevaluated at periodic intervals not to exceed 3 years. Reevaluation shall be by evidence of continued satisfactory performance or re-determination of capability in accordance with the requirements of para. 2.5 above. If during this evaluation or at any other time, it is determined by the responsible organization that the capabilities of an individual are not in accordance with the qualification requirements specified for the job, that person shall be removed from that activity until such time as the required capability has been demonstrated. Any person who has not performed in-

specification or testing activities in his qualified area for a period of 1 year shall be reevaluated by a re-determination of required capability in accordance with the requirements of para. 2.5 above.

2.7 Certificate of Qualification

The qualification of personnel shall be certified in writing in an appropriate form, including the following information:

- (a) employer's name;
- (b) identification of person being certified;
- (c) activities certified to perform;
- (d) basis used for certification, which includes such factors as:
 - (1) education, experience, indoctrination, and training
 - (2) test results, where applicable
 - (3) results of capability demonstration
- (e) results of periodic evaluation;
- (f) results of physical examinations, when required;

- (g) signature of employer's designated representative who is responsible for such certification;
- (h) date of certification and date of certification expiration.

2.8 Physical

The responsible organization shall identify any special physical characteristics needed in the performance of each activity, including the need for initial and subsequent physical examination.

3 RECORDS

3.1 Record Files

Records of personnel qualification shall be established and maintained by the employer. These records shall include the information required by para. 2.7 above.

AUDIT CHECKLIST

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 AUDIT QUESTION # 10.11
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BQARD CRITERION <u>10</u>	REQUIREMENT NO. <u>3</u>
CORRESPONDING PROGRAM ELEMENT <u>N/A</u>	
REQUIREMENT: NRC REVIEW PLAN, SECTION 10.4 Inspection procedures, instruction, or checklists provide for the following: <ol style="list-style-type: none"> a. Identification of characteristics and activities to be inspected. b. A description of the method of inspection. c. Identification of the individuals or groups responsible for performing the inspection operation. d. Acceptance and rejection criteria. e. Identification of required procedures, drawings, and specifications and revisions. f. Recording inspector or data recorder and the results of the inspection operation. g. Specifying necessary measuring and test equipment including accuracy requirements. 	
ADDITIONAL REQUIREMENTS: MPM 04-108, Paragraph 6.2	
QUESTION(S): 1. Do inspection planning documents contain the elements identified in (a) through (g) above? <p style="text-align: right;">YES _____ NO _____</p>	
OBJECTIVE EVIDENCE: 	

[8705.3/N/A.B1]

BQARD CRITERION <u>10</u>	REQUIREMENT NO. <u>2</u>
CORRESPONDING PROGRAM ELEMENT <u>N/A</u>	
REQUIREMENT: NQA-1 1986, SUPPLEMENT 10 S-1 SECTION 8 RECORDS	
Records shall, as a minimum, identify (a) through (f) below: <ul style="list-style-type: none">a) item inspectedb) date of inspectionc) inspectord) type of observatione) results or acceptabilityf) reference to information on action taken in connection with nonconformances	
ADDITIONAL REQUIREMENTS: PMPM 4-108 Paragraph 5.12	
QUESTION(S): <ul style="list-style-type: none">1. Do the inspection records include the elements specified above?2. Are there provisions for the records to include all the elements above? <p style="text-align: right;">YES _____ NO _____</p>	
OBJECTIVE EVIDENCE:	

[8705.2/N/A.B2]

BQARD CRITERION <u>10</u>	REQUIREMENT NO. <u>6</u>
CORRESPONDING PROGRAM ELEMENT <u>N/A</u>	
REQUIREMENT: NQA-1-1986, SUPPLEMENTS 10S-1	
3 INSPECTION HOLD POINTS	
If mandatory inspection hold points are required beyond which work shall not proceed without the specific consent of the designated representative, the specific hold points shall be indicated in appropriate documents. Consent to waive specified hold points shall be recorded prior to continuation of work beyond the designated hold points.	
ADDITIONAL REQUIREMENTS: PMPM 04-108, 5.1 MANDATORY INSPECTION POINTS	
Mandatory inspection points which require witnessing or inspections will be indicated in QAIP. Work or processing may not proceed beyond an inspection point until the witness or inspection has been satisfied. Documented consent to waive a specified mandatory inspection point with justification shall be recorded on applicable documents prior to continuation of work	
QUESTION(S):	
1. Are there provision in the approved QA Program for mandatory inspection hold points to be included in documents to assure that inspections are completed as required?	
2. Select a sample of a document which requires inspection, are hold points established within the body of the document?	
YES _____ NO _____	
OBJECTIVE EVIDENCE:	

BOARD CRITERION <u>10</u>	REQUIREMENT NO. <u>N/A</u>
CORRESPONDING PROGRAM ELEMENT <u>10.3</u>	
<p>REQUIREMENT: Sheet 2 of 10 States</p> <p>Final inspections shall be performed by qualified personnel not reporting directly to the immediate supervisors who are responsible for performing the work being inspected. Final inspections should be performed just prior to "tear down" or "cover up" of a site characterization activity; they are normally indicated by "hold points" on the inspection plan;</p> <p>MA-3, SECTION C, CHAPTER 10.1, REVISION 3, PARAGRAPHS 3.4.2.2, 3.1.1.2, AND 3.3.1</p>	
<p>ADDITIONAL REQUIREMENTS:</p> <p>PMPM 4-108, Revision 0, Paragraph 5.8</p>	
<p>QUESTION(S):</p> <ol style="list-style-type: none"> 1. Review a sample of QAIPs to determine if final inspection is indicated by a hold point prior to tear down, cover up? 2. For the QAIPs selected are there personnel certified to perform this type of inspection? <p style="text-align: right;">YES <u> </u> NO <u> </u></p>	
OBJECTIVE EVIDENCE:	

[8705.10.1/10.3.B1]

AUDIT CHECKLIST

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BQARD CRITERION <u>10</u>	REQUIREMENT NO. <u>N/A</u>
CORRESPONDING PROGRAM ELEMENT <u>N/A</u>	
REQUIREMENT: Sheet 3 of 10 States All project personnel, particularly project inspection personnel, shall be advised that the phrase "acceptance inspection" has a specific contractual meaning and must be used with discretion. In addition, inspection planners and those producing inspection procedures shall ensure they are aware of and responsive to Federal Acquisition Regulations pertaining to inspections.	
ADDITIONAL REQUIREMENTS: PMPM 4-108, Revision 0 and Paragraph 5.8	
QUESTION(S): 1. Is there an organization responsible for inspection planning or inspection procedures? 2. Are the individuals in the organization identified above knowledgeable of the Federal Aquisition Regulations pertaining to inspections? <p style="text-align: right;">YES _____ NO _____</p>	
OBJECTIVE EVIDENCE:	

[8705.N/A.N/A.B1]

AUDIT CHECKLIST

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 AUDIT QUESTION # 12.1
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BQARD CRITERION <u>12</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>12.1</u>	
<p>REQUIREMENT: 10 CFR APPENDIX B, BQARD</p> <p>Measures shall be established to assure that tools, gages, instruments, and other measuring and testing devices used in activities affecting quality are properly controlled, calibrated, and adjusted at specified periods to maintain accuracy within necessary limits.</p>	
<p>ADDITIONAL REQUIREMENTS:</p> <p>RHO QA MA3, CHAPTER 12, 3.15 RHO QA MA3, CHAPTER 11.2, 3.7 PMPM 7-120; PMPM 7-108, 7-118, 7-119, 7-111, 7-109</p>	
<p>QUESTION(S):</p> <ol style="list-style-type: none"> 1. Are tools, gages and instruments used in calibrating other items properly controlled (stored properly, tagged)? Is unauthorized use prevented? 2. Are final measurements always made during calibration? 3. Are there measures established to control the calibration and adjustment of M&TE? <p style="text-align: right;">YES _____ NO _____</p>	
OBJECTIVE EVIDENCE:	

[8705.1.12.1.B2]

CHECKLIST CONTINUATION SHEET

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AUDIT QUESTION # 12.1
PAGE 2 OF 2

QUESTION(S):

4. Are there specified periods, established for maintaining the accuracy limits of M&TE?

5. Are measures established to assure that items are of the proper type, range, accuracy and tolerance?

OBJECTIVE EVIDENCE:

[8705.1.12.1.B2]

BOARD CRITERION <u>12</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>N/A</u>	
REQUIREMENT: NRC REVIEW PLAN SECTION 12.1 The scope of the program for the control of measuring and test equipment is described and the types of equipment to be controlled are established.	
ADDITIONAL REQUIREMENTS: RHO QA MA3, CHAPTER 12, 3.2, 3.3 PMPM 7-120 and 7-113	
QUESTION(S): 1. Are all identifiers for calibration and measurement equipment unique? 2. Are the criteria in place to determine the types of equipment to be calibrated and control established? 3. Are calibration reports maintained and traceable through document control? <div style="text-align: right; margin-top: 20px;"> YES _____ NO _____ </div>	
OBJECTIVE EVIDENCE:	

BOARD CRITERION <u>12</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>N/A</u>	
REQUIREMENT: NRC REVIEW PLAN SECTION 12.2 QA and other organizations' responsibilities are described for establishing, implementing, and assuring effectiveness of the calibration program.	
ADDITIONAL REQUIREMENTS: RHO QA MA3, CHAPTER 12, <u>3.1</u> , 3.6, 3.7, 3.8, and 3.15 PMPM-123, 7-113, 7-112	
QUESTION(S): 1. Have appropriate CTR coordinators been chosen? 2. Are documents required to be filed in DC and room 380 in the Federal Building locatable? 3. Are the organizational responsibilities described for establishing, implementing and assuring the effectiveness of the calibration program? <div style="text-align: right; margin-top: 20px;"> YES <input type="checkbox"/> NO <input type="checkbox"/> </div>	
OBJECTIVE EVIDENCE: 	

[8705.3.1/N/A.B2]

AUDIT CHECKLIST

AUDIT NO. 8705
 AUDIT QUESTION # 12.4
 PAGE 1 OF 2

BQARD CRITERION <u>12</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>12.3</u>	
REQUIREMENT: NRC REVIEW PLAN SECTION 12.3 Procedures are established and described for calibration (technique and frequency), maintenance, and control of the measuring and test equipment (instruments, tools, gages, fixtures, reference and transfer standards, and nondestructive test equipment) used for measurement, inspection, and monitoring. The review and documented concurrence of these functions is identified.	
ADDITIONAL REQUIREMENTS: RHO QA MA3, CHAPTER 12, 3.2, 3.3, 3.4, and <u>3.5</u> RHO QA MA3, CHAPTER 11.1, 3.5 PMPM 7-120, 7-109, 7-121, 7-110, and 8-115	
QUESTION(S): 1. Have calibration Specification Sheets been developed for instruments by Calibration Control? 2. Are prints and other documents on file with document control? 3. Are TOPs and desk orders prepared and on file for equipment use and calibration? 4. Are appropriate change control methods available if equipment changes are made or if better techniques are developed? <div style="text-align: right;"> YES <input type="checkbox"/> NO <input type="checkbox"/> </div>	
OBJECTIVE EVIDENCE: 	

[8705.1/12.3.B2]

QUESTION(S):

5. Is training complete for calibration and operation?
6. Are the operators of operator-calibrated equipment able to deal with unexpected events associated with calibration, test and operation of equipment?
7. Is instrument calibration data associated with site characterization measurements taken on the project included with raw data in a CTP (Certified Transmittal Package)?
8. Is the non repeatable in-progress data protected and in a safe place?
9. Are samples properly packaged and identified at all times?

OBJECTIVE EVIDENCE:

BQARD CRITERION <u>12</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>N/A</u>	
REQUIREMENT: NRC REVIEW PLAN SECTION 12.4 Measuring and test equipment is labeled, tagged or otherwise documented to indicate due date of the next calibration and to provide traceability to calibration test data.	
ADDITIONAL REQUIREMENTS: RHO QA MA3, CHAPTER 12 - 3.3, 3.5, <u>3.6</u> & 3.15 PMPM 7-121, 7-111, 7-123, 7-118	
QUESTION(S): 1. Is the calibration cycle identified on each instrument's tag? ✓ 2. Is the shipping period stated in PMPM 7-111 followed? 3. Does the Calibration Coordinator deal promptly with overdue standards and test equipment? 4. Has CCA listings been made for all non-operator calibrated test equipment? YES _____ NO _____	
OBJECTIVE EVIDENCE:	

[8705.5/1/N/A.B2]

BQARD CRITERION <u>12</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>12.2</u>	
REQUIREMENT: NRC REVIEW PLAN SECTION 12.5 Measuring and test equipment is calibrated at specified intervals based on required accuracy, precision, purpose, degree of usage, stability, characteristics, and other conditions which could affect measurement.	
ADDITIONAL REQUIREMENTS: RHO QA MA3, CHAPTER 12 - <u>3.3</u> , 3.2 & 3.5 PMPM 7-109 & 7-112	
QUESTION(S): 1. Does the calibration interval differ from piece of equipment to piece of equipment? 2. Is equipment physically controlled and protected from unauthorized use? 3. Is the calibration frequency based upon; accuracy, precision, purpose, degree of usage, stability, characteristics and other conditions? <div style="text-align: right;"> YES <u> </u> NO <u> </u> </div>	
OBJECTIVE EVIDENCE:	

[8705.1/12.2.B2]

BQARD CRITERION <u>12</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>12.2</u>	
REQUIREMENT: NRC REVIEW PLAN SECTION 12.6 Calibration standards are traceable to nationally recognized standards. Where national standards do not exist, provisions are established to document acceptability of the calibration standard used.	
ADDITIONAL REQUIREMENTS: RHO QA MA3, CHAPTER 12 - 3.4 PMPM 7-108, 7-112, 7-113	
QUESTION(S): 1. Are the standards traceable to national or international geologic or natural physical standards? 2. Is this documented and are the documents on file? 3. Are the standards preserved, stored, and identified in an approved way between use? <p style="text-align: right;">YES <input type="checkbox"/> NO <input type="checkbox"/></p>	
OBJECTIVE EVIDENCE:	

BQARD CRITERION <u>12</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>12.4 & 12.5</u>	
REQUIREMENT: NRC REVIEW PLAN SECTION 12.7 When measuring and test equipment is found to be out of calibration, evaluations are made and documented to determine the validity and acceptability of measurements performed since the last calibration. Inspections or tests are repeated on items determined to be suspect.	
ADDITIONAL REQUIREMENTS: RHO QA MA3, CHAPTER 12 - <u>3.7</u> PMPM 7-123 & 7-113	
QUESTION(S): 1. Are all equipment items tagged as to status? 2. Are methods in place to report out of calibration equipment and have it tagged? 3. Are calibration tags up to date and available? 4. Are methods provided for identifying where M&TE has been used? 5. Is the "as found" data available on the results of calibration? YES _____ NO _____	
OBJECTIVE EVIDENCE:	

[8705.1/12.4&5.B2]

CHECKLIST CONTINUATION SHEET

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QUESTION(S):

6. Are provisions made for evaluation to be performed to verify the acceptability of data taken when M&TE is found to be outside accuracy limits?
7. Are the results of the evaluation documented?
8. Are provisions made for re-testing or re-inspection of items when necessary based upon the evaluation results?

OBJECTIVE EVIDENCE:

[8405.1/12.4&5.B2]

BOARD CRITERION <u>13</u>	REQUIREMENT NO. <u>1 & 2</u>
CORRESPONDING PROGRAM ELEMENT <u>1 - 2 - 3</u>	
REQUIREMENT: NRC REVIEW PLAN, SECTION 13.1 Sampling, handling, preservation, storage, packaging, and shipping requirements are established and accomplished by suitably trained individuals in accordance with predetermined work and inspection instructions. NQA-1 SUPPLEMENT 13 S-1 2 INSTRUCTION: Handling, storage, and shipping of items shall be conducted in accordance with established work and inspection instructions, drawings, specifications, shipment instructions, or other pertinent documents or procedures specified for use in conducting the activity.	
ADDITIONAL REQUIREMENTS: PMPM 6-117, Paragraph 5.9 - Procurement PMPM 6-119, Paragraph 5.0 - Procurement	
QUESTION(S): 1. Have provisions been made for handling, storage and shipment of items to be accomplished in accordance with documented instructions? 2. Do the instructions include inspection requirements? 3. Has training to the documented instructions been completed? <div style="text-align: right; margin-top: 20px;"> YES <input type="checkbox"/> NO <input type="checkbox"/> </div>	
OBJECTIVE EVIDENCE:	

AUDIT CHECKLIST

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BQARD CRITERION <u>13</u>	REQUIREMENT NO. <u>1 & 2</u>
CORRESPONDING PROGRAM ELEMENT <u>1 - 2 - 3</u>	
REQUIREMENT: NQA-1, 1980 SUPPLEMENTAL 13 2-1 3.1 GENERAL When required for particular items, special equipment (such as containers, shock absorbers, and accelerometers) and special protective environments (such as inert gas atmosphere, specific moisture content levels, and temperature levels) shall be specified, provided, and their existence verified.	
ADDITIONAL REQUIREMENTS: PMPM 6-117 - Procurement PMPM 6-119 - Procurement	
QUESTION(S): 4. Are provisions made for the use of special equipment and protective environment when needed? 5. Are provisions made for inspection of items for special equipment and protective environments? <p style="text-align: right;">YES <input type="checkbox"/> NO <input type="checkbox"/></p>	
OBJECTIVE EVIDENCE:	

[8705.1&2/1_2_3.B2]

BQARD CRITERION <u>13</u>	REQUIREMENT NO. <u>1 & 2</u>
CORRESPONDING PROGRAM ELEMENT <u>1 - 2 - 3</u>	
REQUIREMENT: 3.2 PROCEDURES When required for <u>critical, sensitive, perishable, or high-value articles</u> , specific procedures for handling, storage, packaging, shipping, and preservation shall be used.	
ADDITIONAL REQUIREMENTS: PMPM 6-117 PMPM 6-119	
QUESTION(S): 6. Are provisions made for specific procedures to be used to control handling, storage, packaging, shipping and preservation of items? 7. Is there a method of determining criticality, sensitivity, perishability and value of items and did they implement the required specific procedures? <p style="text-align: right;">YES _____ NO _____</p>	
OBJECTIVE EVIDENCE:	

[8705.1&2/1_2_3.B2]

AUDIT CHECKLIST

AUDIT NO. 8705
AUDIT QUESTION # 13.1
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BQARD CRITERION <u>13</u>	REQUIREMENT NO. <u>1 & 2</u>
CORRESPONDING PROGRAM ELEMENT. <u>1 - 2 - 3</u>	
REQUIREMENT: 3.3 TOOLS AND EQUIPMENT Special handling tools and equipment shall be utilized and controlled as necessary to ensure safe and adequate handling. Special handling tools and equipment shall be inspected and tested in accordance with procedures and at specified time intervals to verify that the tools and equipment are adequately maintained.	
ADDITIONAL REQUIREMENTS: PMPM 6-119	
QUESTION(S): 8. Are provisions made for the use of special handling tools and equipment when necessary? 9. Do these provisions include inspection and testing of tools and equipment at specified intervals? <p style="text-align: right;">YES _____ NO _____</p>	
OBJECTIVE EVIDENCE:	

[8705.1&2/1_2_3.82]

AUDIT CHECKLIST

AUDIT NO. 8705
AUDIT QUESTION # 13.1
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BQARD CRITERION <u>13</u>	REQUIREMENT NO. <u>1 & 2</u>
CORRESPONDING PROGRAM ELEMENT <u>1 - 2 - 3</u>	
REQUIREMENT: 3.4 OPERATORS Operators of special handling and lifting equipment shall be experienced or trained in use of the equipment.	
ADDITIONAL REQUIREMENTS: PMPM 6-119	
QUESTION(S): 10. Are provisions made for training or judging experience of operators of special handling tools and equipment? <p style="text-align: right;">YES _____ NO _____</p>	
OBJECTIVE EVIDENCE:	

[8705.1&2/1_2_3.B2]

AUDIT CHECKLIST

AUDIT NO. 8705
 AUDIT QUESTION # 13.1
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BQARD CRITERION <u>13</u>	REQUIREMENT NO. <u>1 & 2</u>
CORRESPONDING PROGRAM ELEMENT <u>1 - 2 - 3</u>	
<p>REQUIREMENT: 4 MARKING</p> <p>Instructions for marking and labeling for packaging, shipment, handling, and storage of items shall be established as necessary to adequately identify, maintain, and preserve the item, including indication of the presence of special environments or the need for special controls.</p>	
<p>ADDITIONAL REQUIREMENTS:</p> <p>PMPM 6-117 PMPM 6-119</p>	
<p>QUESTION(S):</p> <p>11. Are provisions made for the marking or labeling of items?</p> <p>12. Do the provisions include identification of special environments?</p> <p style="text-align: right;">YES _____ NO _____</p>	
<p>OBJECTIVE EVIDENCE:</p>	

[8705.1&2/1_2_3.B2]

BQARD CRITERION <u>14</u>	REQUIREMENT NO. <u>1</u>
CORRESPONDING PROGRAM ELEMENT <u>1</u>	
REQUIREMENT: NRC REVIEW PLAN, SECTION 14.1 Procedures are established to indicate by the use of markings the status of inspections and tests on individual items.	
ADDITIONAL REQUIREMENTS: PMPM 7-121, Paragraph 6.1	
QUESTION(S): 1. Are provisions made to use marking of individual items to indicate the status of inspection and test? 2. Select a sample of items, are they properly marked? <p style="text-align: right;">YES _____ NO _____</p>	
OBJECTIVE EVIDENCE:	

BQARD CRITERION <u>14</u>	REQUIREMENT NO. <u>2</u>
CORRESPONDING PROGRAM ELEMENT <u>1</u>	
REQUIREMENT: REQUIREMENT 2: 10 CFR 50 APPENDIX B These measures shall provide for the identification of items which have satisfactorily passed required inspections and tests, where necessary to preclude inadvertent bypassing of such inspections and tests.	
ADDITIONAL REQUIREMENTS: PMPM 4-102, Paragraph 6.1	
QUESTION(S): 1. Are provisions made to identify items which have passed required inspection and test? <p style="text-align: right;">YES <input type="checkbox"/> NO <input type="checkbox"/></p>	
OBJECTIVE EVIDENCE:	

BQARD CRITERION <u>14</u>	REQUIREMENT NO. <u>3</u>
CORRESPONDING PROGRAM ELEMENT <u>14.1</u>	
REQUIREMENT: REQUIREMENT 3: 10 CFR 50 APPENDIX B Measures shall also be established for indicating the operating status of structures, systems, and components of the nuclear power plant or fuel reprocessing plant, such as by tagging valves and switches, to prevent inadvertent operation.	
ADDITIONAL REQUIREMENTS: PMPM 07-121, Paragraph 6.1	
QUESTION(S): 1. Are there measures provided for the identification of operative status of structures, system, or components? <p style="text-align: right;">YES <input type="checkbox"/> NO <input type="checkbox"/></p>	
OBJECTIVE EVIDENCE:	

[8705.3/14.1.B1]