

UNITED STATES TESTING COMPANY, INC. — Power Generation Services

F7220-C-208-UST-AUDIT-1-4(3)

CHANGE NOTICE

Controlled Copy No.

8M

1. The following document is changed as described below. DOCUMENT TITLE:  INTERNAL AUDITS	DOCUMENT NO.  UST-AUDIT-1	CHANGE NOTICE NO. Permanent CN #3
	DOCUMENT REVISION NO. 4	2. CHANGE NOTICE STATUS FA-I

3. This change notice is applicable to the following project (s):  
  
Midland Project No. 7220-C-208 (1015)

4. Sign and return Transmittal to acknowledge your receipt of this Change Notice top of the cover sheet of your copy (copies) of the referenced documents. Also attach this Change Notice on

PAGE NO.	PAR. NO.	5. DESCRIPTION OF CHANGE
5	6.1.1	<p><u>This new paragraph is added:</u></p> <p>6.1.1 After the audit report is issued the Project Manager or his designee shall submit a bimonthly status report to the Audit Manager. This report shall record the status of outstanding audit findings. The Audit Manager shall follow-up the timely submittal of these reports.</p> <p style="text-align: center; font-size: 2em; font-weight: bold;">CONTROLLED</p> <p><u>NOTE:</u> Permanent Change Notice No. 1 is only applicable to the Clinton Project. Permanent Change Notice No. 2 is only applicable to the Perry Proj.</p>

6. Description of change is continued on 0 attached sheets.

Prepared: 8/7/77 adu Reviewed: Dr. Conner Approved: 8/17/77 adu Date: 10/14/77 WITHDRAWAL APPROVAL: \_\_\_\_\_ Date: \_\_\_\_\_

7. I have received and read this Change Notice and fully understand its requirements as it pertains to my responsibilities (sign only when copy is issued to you)  
SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

Bechtel Power Corporation

Post Office Box 2167  
Midland, Michigan 48640



March 6, 1978

U. S. Testing Company, Inc.  
1415 Park Avenue  
Hoboken, New Jersey 07030

Attention: Mr. D. Edley

Job 7220 Midland Project  
Subcontract 7220-C-208  
Quality Assurance Manual  
Copy No. 6, Revision 5  
C-208-B-295


Dear Mr. Edley:

The following change notices and revisions have been reviewed to the requirements of ANSI N45.2-1971, Quality Assurance Program Requirements for Nuclear Power Plants:

QA Manual	Revision 5	CN 1	Dated September 23, 1976
QA Manual	Revision 5	CN C2	Dated March 22, 1977
QA Manual	Revision 5	CN C4	Dated March 22, 1977
QA Manual	Revision 5	CN C5	Dated July 11, 1977
QA Manual	Revision 5	CN 6	Dated September 16, 1977
UST-CA-1	Revision 3	CN 3	Dated October 19, 1977
<del>UST-TQ-1 Revision 5 CN 2 Dated October 3, 1977</del>			
UST-TQ-1	Revision 5	CN 2	Dated October 3, 1977
QCP-4	Revision 1	CN 2	Dated June 1, 1977
QCP-4	Revision 1	CN 3	Dated June 16, 1977
QCP-4	Revision 1	CN 4	Dated September 9, 1977
QCP-4	Revision 1	CN 5	Dated September 15, 1977
QCP-5	Revision 2		Dated November 9, 1977

The results of this review have determined that the change notices and revisions are acceptable and a Status Level 1 has been assigned.

Very truly yours,

  
J. F. Newgen

JFN/CNC/LNW/djr



UNITED STATES TESTING COMPANY, INC.

POWER GENERATION SERVICES

Controlled Copy No. 8 M

TITLE  Internal Audits  <b>CONTROLLED</b>	PROCEDURE NO.  UST-AUDIT-1	
	REVISION NO.  4	REVISION STATUS  FA-I

SCOPE OF REVISIONS:

Revision No. 4: Page 3: Par. V 2.4, modified the information required on audit checklists.  
 Par's. V 3.2 & 3.3, added requirement for pre-audit conference.

Page 4: Par's. V 4.1&4.2, revised audit report requirements.

Page 5: Par's. 5.3 & 5.4, changed audit report distribution responsibilities.  
 Par. 6.1, editorial change.  
 Par. 6.3, clarified corrective action reporting requirements.

Page 6: Section VI, expanded audit documentation retention requirement.

Form No. USTF-1.1, Revised audit report cover sheet.

I HAVE READ THIS PROCEDURE AND FULLY UNDERSTAND ITS REQUIREMENTS AS IT PERTAINS TO MY RESPONSIBILITIES. (Only sign when copy is issued to you)

Signature & Date

REVISION NO.	4			
NO. OF SHEETS	10			
PREPARED BY	<i>E.J. Judwin</i>			
REVIEWED BY	<i>F. Edwards</i>			
APPROVED BY	<i>E.J. Judwin</i>			
DATE OF ISSUE	4/26/77			



UNITED STATES TESTING COMPANY, INC.

POWER GENERATION SERVICES

Controlled Copy No.

TITLE  Internal Audits	PROCEDURE NO. UST-AUDIT-1	
	REVISION NO. —	REVISION STATUS 1. —

SCOPE OF REVISIONS:

Revision No. 1: Revised all sections to clarify the intent of the audit program and the duties of Project Supervisors.

Revision No. 2: Revised all pages to more clearly define responsibilities.

Retyped this procedure cover sheet on the Rev. 3 of Form Number USTF-PWC-1,1

Revision No. 3: Changes made throughout procedure.

I HAVE READ THIS PROCEDURE AND FULLY UNDERSTAND ITS REQUIREMENTS AS IT PERTAINS TO MY RESPONSIBILITIES. (Only sign when copy is issued to you)

Signature & Date

REVISION NO.	Original	1	2	3
NO. OF SHEETS	N/A	8	9	9
PREPARED BY	Andrew Walcutt	E.J. Zadina	<i>M. Appleman</i>	<i>E.J. Zadina</i>
REVIEWED BY	N/A	M. Appleman J. Marucci	<i>E.J. Zadina</i>	<i>M. P. Fisher</i>
APPROVED BY	Gene Basile	G. Basile	<i>E.J. Zadina</i>	<i>E.J. Zadina</i>
DATE OF ISSUE	5/15/75	8/8/75	3/30/76	7/23/76

1. STATUS CODES: FA - FOR APPROVAL; A-APPROVED  
H-HOLD, DO NOT IMPLEMENT; I-IMPLEMENT

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Internal Audit Report Cover Sheet

Form No. USTF-AUDIT-1.1



## I. PURPOSE

To establish systematic methods for management verification of the Project Manager's and Project Personnels' compliance with the Project's QA Program and to determine the effectiveness of the Project's QA Program.

## II. SCOPE

This procedure establishes methods for scheduling, performing, reporting, management notification and reviewing internal audits. The resolving of nonconformances and closing out of the audit are also included.

## III. REQUIREMENTS

Audits shall be performed by Lead Auditors qualified per procedure No. UST-TQ-1 who are not performing the activities being audited. Audit reports shall be submitted to the Vice President of Power Generation Services via the Audit Manager.

Audits shall verify compliance with the Project's QA Program. Activities shall be audited on a project basis. Those activities which concern more than one project may be audited on an activity basis however the results of the audit shall be identified in each project's audit report.

An audit schedule shall be established by the Audit Manager which meets the minimum requirements established by the Project QA Program (including the applicable procedures). More audits than required by the schedule may be performed but in no case may the number of audits be reduced.

Audits will be performed by competent personnel in accordance with written checklists and this procedure.

## IV. RESPONSIBILITIES

### 1.0 Vice President of Power Generation Services

The Vice President shall be responsible for assuring that required audits are performed. He shall appoint an Audit Manager to direct and coordinate audit activities. The Vice President shall review audit reports, to assure non-conformances are corrected and to evaluate the effectiveness of the Project's QA Program.

## 2.0 Audit Manager

The Audit Manager shall be responsible for directing and coordinating audit activities. He shall establish a yearly Audit Schedule, assure audits are performed in accordance with this procedure, and that required follow-up actions are taken. He shall appoint the auditors.

## 3.0 Lead Auditor

The appointed Lead Auditor shall develop an audit checklist, perform the audit, and prepare audit reports which he will submit to the Audit Manager.

## 4.0 Project Manager

The Project Manager shall be responsible for initiating and assuring accomplishment of the corrective action to resolve the problems revealed by the audit. The Project Manager may delegate this work to subordinates but shall retain responsibility for the resolution.

## 5.0 Project Supervisors

For Projects with Project Supervisors, the supervisor shall accomplish or assign personnel to accomplish the resolution of the audit findings with the Project Managers approval.

# V. PROCEDURE

## 1.0 Audit Schedule

- 1.1 The Audit Manager shall establish an Audit Schedule for each project. The Audit Schedule shall be developed on a yearly basis.
- 1.2 Additionally, unscheduled audits may be performed at any time it is felt to be necessary by the Audit Manager.

## 2.0 Audit Preparation

- 2.1 The Audit Manager shall notify groups at least one week in advance of the day they are to be audited. (This notification may be verbal).
- 2.2 The Audit Manager shall appoint a Lead Auditor to perform the audit allowing sufficient time for their preparation.
- 2.3 The Lead Auditor shall prepare a written audit checklist specifically tailored to the project or activity being audited.
- 2.4 The Audit Checklist shall identify the project or activity being audited, and documents used to compile the checklist. The checklist shall be approved by the Audit Manager prior to the audit.

## 3.0 Audit Performance

- 3.1 Those personnel being audited shall give their full cooperation to the Lead Auditor. If requested by the Lead Auditor, they shall defer their normal work, meetings, and telephone calls during the audit.
- 3.2 A brief Pre-Audit Conference will be conducted at the site. The auditor will cover the scope of the audit with the responsible Manager or Supervisor.
- 3.3 Upon completion of the audit a Post Audit Conference shall be held with the responsible Manager or Supervisor to inform him of audit results.

Nonconformances requiring corrective action shall be reported by the Lead Auditor to the responsible Manager or Supervisor.



#### 4.0 Audit Reports

- 4.1 Audit reports shall contain the below information.
  - 4.1.1 Internal Audit Report Cover Sheet (Form No. USTF-AUDIT-1) with all the required information inserted.
  - 4.1.2 Report of the audit. This shall include the scope of the audit, the persons contacted during the audit, a summary of audit results (including an evaluation of the effectiveness of the QA Program elements audited) and a description of the audit findings.
  - 4.1.3 Verification of corrective actions taken to resolve audit findings from previous audits. This shall identify the audit finding closed, reopened, and those remaining open.
- 4.2 Audit reports shall be submitted to the Audit Manager within 30 days after the audit.
- 4.3 Recommendations for improvements to acceptable activities shall not be included in audit reports.

## 5.0 Audit Report Review

- 5.1 The Audit Manager shall review the audit report for completeness. He shall sign the audit report and transmit it to the Project Manager.
- 5.2 The Project Manager shall review the audit report and initiate corrective action if required. He shall sign the audit report and transmit it to the Vice President of Power Generation Services.
- 5.3 The Vice President shall review the audit report and if required discuss the audit findings and required corrective action with the Project Manager and the Audit Manager or Lead Auditor. He shall sign the audit report and transmit it to the Audit Manager.
- 5.4 The Audit Manager shall transmit copies to the Project Manager and his subordinates. For projects with Project Supervisors, Supervisors shall be furnished a copy for his corrective action and records.

## 6.0 Audit Follow Up

- 6.1 The Project Manager shall be responsible for initiating and assuring accomplishment of the corrective action to resolve audit findings.
- 6.2 The Project Manager shall submit a written report to the Audit Manager within 30 days from the date the audit report is issued defining the corrective action taken. In the event that corrective action cannot be completed within these 30 days, the Project Manager shall specify a scheduled completion date in his report.
- 6.3 The Audit Manager shall document his approval of the corrective actions taken to the Project Manager. If the Audit Manager finds the actions unsatisfactory, he shall inform the Vice President of Power Generation Services.

- 6.4 The Vice President of Power Generation Services shall resolve these conflicts.
- 6.5 As a minimum requirement implementation of corrective action shall be verified at the next scheduled audit.

VI. DOCUMENTATION

- 1.0 The below documentation shall be maintained by the Audit Manager.
  - 1.1 Audit Schedules.
  - 1.2 Audit Checklists
  - 1.3 Auditors detailed record of observations
  - 1.4 Audit Reports
  - 1.5 Records of corrective action taken to resolve audit findings.
- 2.0 The below documentation shall be maintained by the audited party.
  - 2.1 Audit Reports
  - 2.2 Records of corrective action taken to resolve audit findings.

File No. \_\_\_\_\_/421. \_\_\_\_\_

INTERNAL AUDIT REPORT COVER SHEET

Project: \_\_\_\_\_ Project No. \_\_\_\_\_

Audit No: \_\_\_\_\_ Audit Date: \_\_\_\_\_

Facilities Audited:

Conducted By: \_\_\_\_\_ Auditor's Signature \_\_\_\_\_

Date Audit Report Issued: \_\_\_\_\_

Audit Reviewed By:

<u>NAME</u>	<u>DATE</u>	<u>TITLE</u>
_____		Audit Manager
_____		_____
_____		Project Manager
_____		V. P. Power Generation Services Div.

Copies to:

NR C

copy

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