

United States Government

see pocket 1  
for enclosure  
Department of Energy

# memorandum

WM DOCKET CONTROL  
CENTER

DATE: MAR 25 1985

REPLY TO  
ATTN OF: RW-23

'85 MAR 29 A11:05

SUBJECT: BWIP Quality Assurance Audit by HQ on April 16-18, 1985

TO: Lee Olson, BWIP

This memo confirms the rescheduling of the HQ audit of BWIP to April 16-18, 1985 per your request. Enclosed is a copy of the audit plan which sets forth the scope and purpose of the audit. Also enclosed is a copy of the checklist we are planning to use in the audit. As you know, a checklist is just a guide used by auditors to help formulate questions in general areas. It is not all-inclusive and does not preclude our asking more specific questions and asking additional questions in related areas.

We would like to hold the entrance meeting at 8:00 a.m. on Tuesday, April 16 and the exit meeting at 3:00 p.m. on Thursday, April 18. We would appreciate a conference room and typing services being made available for use by the audit team April 15-18.

The audit team will be divided into two groups for the purpose of interviewing project personnel. We suggest you arrange for an escort for each group since some members will need escorting. An audit schedule is also attached. We have worked with Gary Bracken of the Richland Operations Office in scheduling interviews with project personnel. We will try to adhere to the schedule, but will need some flexibility to deviate as situations may arise which we had not anticipated.

On behalf of the audit team, let me say that we are looking forward to meeting with you and the other project personnel and are expecting this audit to be a useful activity for us all.

*Carl Newton*

Carl Newton  
Audit Team Leader

WM Record File

101.2

WM Project 10

Docket No.

PDR ☒

LPDR ☒

Enclosures: Audit Plan  
Audit Check List  
Audit Schedule

Distribution:

J Kennedy  
M Delligatti  
(Return to WM, 623-SS)

DEM  
HSM

C2

cc w/encl: Stan Echols, GC-11 (Audit Team Observer)  
Charles Head, OGR, RW-23 (Audit Team Observer)  
Jim Kennedy, NRC (Audit Team Observer)  
Edward Sulek, Weston (Audit Team Member)  
John Malvin, Weston (Audit Team Member)

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WM-10 PDR

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See memo from Newton  
3/25/85 101.2

|                        |        |                 |              |
|------------------------|--------|-----------------|--------------|
| Procedure No. QIP 18.0 | Rev. 0 | Issued 11/21/84 | Page 7 of 11 |
|------------------------|--------|-----------------|--------------|

APPENDIX A

AUDIT PLAN

AUDIT TYPE External REPORT NO. 85-B-1  
PROJECT Basalt Waste Isolation Project Office

AUDIT SCOPE Initial audit of Implementation of BWIP Quality Assurance Plan and Quality Implementing Procedures.

REQUIREMENTS & APPLICABLE DOCUMENTS BWIP QA Plan - Revision 0; BWIP Quality Implementing Procedures; ANSI/ASME NQA-1, 1983; 10 CFR 60, Section 60.21 (c)(4); 10 CFR 50, Appendix B; DOE Order 5700-6A; NRC Review Plan, June 1984; HQ-OGR Quality Assurance Plan, September 1984; and all other OGR Baseline Documents OGR/B-1, OGR/B-2, OGR/B-4, and OGR/B-5.

ACTIVITIES TO BE AUDITED BWIP Quality Assurance Group

DEPARTMENT(S) OR ORGANIZATION(S) TO BE NOTIFIED Project Management; BWIP QA Group

AUDIT TEAM MEMBERS Carl Newton - Audit Team Leader; Charles Head - Observer; Edward Sulek - Team Member; John Malvin - Team Member; James Kennedy - Observer-NRC; Stan Echols - Observer - OGC

AUDIT SCHEDULE Entrance Meeting 8:00 AM April 16, 1985  
Audit 9:00 AM - 4:15 PM April 16, 1985  
Audit 8:00 AM - 4:15 PM April 17, 1985  
Complete Audit and Write Audit Report 8:00 AM - 1:30 PM April 18, 1985  
Exit Meeting 3:00 PM April 18, 1985

Carl Newton 3-20-85  
AUDIT TEAM LEADER DATE

CH Head 22 MARCH 1985  
LICENSING & QA TEAM LEADER DATE

Audit Schedule  
 HQ/OGR QA Audit #85-B-1  
 BWIP Office  
 April 16-18, 1985

April 15

| <u>Time</u>  | <u>Activity</u>             | <u>Team</u> |
|--------------|-----------------------------|-------------|
| 2:00/5:30 PM | Audit Team Meeting. . . . . | A&B         |

April 16

|              |                                       |   |
|--------------|---------------------------------------|---|
| 8:00/9:00 AM | Pre Audit conference                  |   |
| 9:00/11:45   | Organization . . . . .                | A |
|              | Design Control/Peer Reviews. . . . .  | B |
| 11:45/12:45  | Lunch                                 |   |
| 12:45/2:30   | QA Program. . . . .                   | A |
|              | Design Control. . . . .               | B |
| 2:30/3:30    | Procurement Document Control. . . . . | A |
|              | Nonconformances . . . . .             | B |
| 3:30/4:15    | Caucus - Audit Team                   |   |
| 4:15/5:00    | Brief PQAM                            |   |

April 17

|               |   |   |
|---------------|---|---|
| 8:00/10:00 AM | Procurement Document Control. . . . .     | A |
|               | Corrective Action . . . . .               | B |
| 10:00/11:45   | Control of Purchased Services . . . . .   | A |
|               | QA Records. . . . .                       | B |
| 11:45/12:45   | Lunch                                     |   |
| 12:45/2:00    | Instructions-Procedures-Drawings. . . . . | A |
|               | QA Records. . . . .                       | B |
| 2:00/3:30     | Document Control. . . . .                 | A |
|               | Audits. . . . .                           | B |
| 3:30/4:15 PM  | Caucus - Audit Team                       |   |
| 4:15/5:00 PM  | Brief PQAM                                |   |

April 18

| <u>Time</u> | <u>Activity</u>                  | <u>Team</u> |
|-------------|----------------------------------|-------------|
| 8:00/11:45  | Prepare Audit Report. . . . .    | A&B         |
| 11:45/12:45 | Lunch                            |             |
| 12:45/1:30  | Complete Audit Report . . . . .  | A&B         |
| 1:30/2:00   | Brief PQAM. . . . .              | A&B         |
| 2:00/3:00   | Brief Project Director . . . . . | A&B         |
| 3:00/4:00   | Exit Meeting                     |             |

## AUDIT CHECK LIST

PROJECT Basalt Waste Isolation ProjectDATES/S April 16-18, 1985AUDIT TEAM LEADER Carl NewtonAUDIT NUMBER 85-B-1

AUDIT TEAM MEMBER \_\_\_\_\_

PERSON INTERVIEWED \_\_\_\_\_

| CHARACTERISTIC  | LOCATION                | EVIDENCE EXAMINED | S | U |
|---|-------------------------|-------------------|---|---|
| <u>ORGANIZATION</u>   |                         |                   |   |   |
| 1 Does the QA Organization verify proper performance of work through implementation of appropriate QA controls? What controls are implemented?  | NRC-RP<br>1.1<br>App. A |                   |   |   |
| 2 Does the project describe major delegation of work involved in establishing and implementing the QA program (or any part) to other organizations?   | RP 1.2                  |                   |   |   |
| 3 Does the project evaluate the performance of work delegated to other organizations? Is the frequency and method of evaluation specified? (i.e., audits/surveillances/other)                         | 1.4                     |                   |   |   |
| 4. Have clear management controls and effective lines of communication been established between the project and its contractors/participants to assure direction of the QA program?                   | 1.6                     |                   |   |   |
| 5 Has the DOE identified a management position that retains overall authority and responsibility for the QA program?  | 1.10                    |                   |   |   |
| 6 a) Is it at the same or higher organization level as the highest line manager directly responsible for performing activities affecting quality and sufficiently independent from cost and schedule? | RP-1.10                 |                   |   |   |

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AUDIT TEAM MEMBER \_\_\_\_\_

PERSON INTERVIEWED \_\_\_\_\_

| CHARACTERISTIC  | LOCATION | EVIDENCE EXAMINED | S | U |
|---|----------|-------------------|---|---|
| <u>ORGANIZATION</u> (continued)   |          |                   |   |   |
| b) Do effective communication channels exist with other senior management positions?  | RP-1.10  |                   |   |   |
| c) Does this position have no other duties or responsibilities unrelated to QA?   | RP-1.10  |                   |   |   |
| 7. Have provisions been established for the resolution of disputes involving Quality?   | RP-1.13  |                   |   |   |
| 8. Has the Project Office chaired a meeting of representatives from each of the major BWIP contractors QA organization at least once each quarter, to receive reports and to discuss matters relevant to the QA program implementation? | QAP 1.0  |                   |   |   |
| 9. Has an annual verification plan been prepared and issued by the Project Office that:   | QAP 1.0  |                   |   |   |
| a) Identifies scheduled audits?   |          |                   |   |   |
| b) Identifies scheduled surveillances?  |          |                   |   |   |
| c) Identifies other scheduled verification activities?  |          |                   |   |   |
| 10. Has the plan and all revisions been approved by the Project Office and SQA?   | QAP 1.0  |                   |   |   |

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| CHARACTERISTIC   | LOCATION | EVIDENCE EXAMINED | S | U |
|--|----------|-------------------|---|---|
| <u>ORGANIZATION</u> (continued)  |          |                   |   |   |
| 11. Are unscheduled verification activities performed when conditions indicate the need? Are they documented?      | QAP 1.0  |                   |   |   |
| 12. Has an annual meeting been held by DOE-RL management to review the status and effectiveness of the QA program? | QAP 1.0  |                   |   |   |
| 13. How Does BWIP exercise work direction to the:  |          |                   |   |   |
| a) Technical Manager?  |          |                   |   |   |
| b) Architect Engineer?   |          |                   |   |   |
| c) Construction Manager?   |          |                   |   |   |
| d) Other Contractors?  |          |                   |   |   |
| 14. How does BWIP exercise stop work authority to the:   |          |                   |   |   |
| a) Technical Manager?  |          |                   |   |   |
| b) Architect Engineer?   |          |                   |   |   |
| c) Construction Manager?   |          |                   |   |   |
| d) Other Contractors?  |          |                   |   |   |

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AUDIT TEAM MEMBER \_\_\_\_\_

PERSON INTERVIEWED \_\_\_\_\_

| CHARACTERISTIC  | LOCATION | EVIDENCE EXAMINED | S | U |
|---|----------|-------------------|---|---|
| <u>PROGRAM</u>  |          |                   |   |   |
| 1. Are the items and activities covered by the program identified? Is rationale provided for determining how items or activities are important to safety and waste isolation? | RP-2.1   |                   |   |   |
| 2. Does the program for controls over the development and use of computer programs meet the requirements of NUREG 0856?   | RP-2.2   |                   |   |   |
| 3. Has the QA Organization review and documented concurrence with quality related procedures relative to QA requirements?   | RP-2.4   |                   |   |   |
| 4. Does the QA Program provide for applying a defined graded approach in accordance with importance to safety or waste isolation?   | RP-2.5   |                   |   |   |
| 5. Does the program provide for regular management assessments of the QA program's scope, status, adequacy and compliance?  | RP-2.7   |                   |   |   |
| 6. Does the Program provide for:  | RP-2.1   |                   |   |   |
| a) Indoctrination and training of all persons performing quality-related activities?  |          |                   |   |   |
| b) Training & Qualification of persons verifying quality?   |          |                   |   |   |



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| CHARACTERISTIC  | LOCATION | EVIDENCE EXAMINED | S | U |
|---|----------|-------------------|---|---|
| <u>PROGRAM</u> (continued)  |          |                   |   |   |
| 7. Are training records maintained?   | RP-2.8   |                   |   |   |
| 8. Does management monitor the performance of individuals involved in activities affecting quality to determine the need for retraining or replacement? | RP-2.8   |                   |   |   |
| 9 Have Project Management Procedures been developed to implement responsibilities described in the QA Plan Appendix I?                                  | QAP 2.0  |                   |   |   |
| a) Are they approved by the Project Manager, the SQA Director, and any other Division Director with implementation responsibilities?                    |          |                   |   |   |
| b) Are revisions approved in the same manner?   |          |                   |   |   |
| 10. As a minimum, are annual status reports on the BWIP QA Program prepared and issued by the SQA?  | QAP 2.0  |                   |   |   |
| 11. Does this report summarize the results of:  | QAP 2.0  |                   |   |   |
| a) Surveillances?   |          |                   |   |   |
| b) Verifications?   |          |                   |   |   |

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PERSON INTERVIEWED \_\_\_\_\_

| CHARACTERISTIC   | LOCATION | EVIDENCE EXAMINED | S | U |
|--|----------|-------------------|---|---|
| <u>PROGRAM</u> (continued)   |          |                   |   |   |
| c) Audits?   |          |                   |   |   |
| and identify:  |          |                   |   |   |
| d) Significant Quality Issues?   |          |                   |   |   |
| e) Problems?   |          |                   |   |   |
| f) Nonconformances?  |          |                   |   |   |
| g) Corrective Actions?   |          |                   |   |   |
| 12. Is the report distributed to the HQ-OGR and all DOE-RL BWIP involved managers?                                   | QAP 2.0  |                   |   |   |
| 13. Has an annual management review meeting been held to review the status and effectiveness of the BWIP QA Program? | QAP 2.0  |                   |   |   |
| 14. Has a meeting report been prepared and distributed by the SQA to HQ-OGR and all DOE-RL BWIP involved managers?   | QAP 2.0  |                   |   |   |
| 15. Does the SQA maintain records of these meetings?   | QAP 2.0  |                   |   |   |

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|--|----------|-------------------|---|---|
| <u>PROGRAM</u> (continued)   |          |                   |   |   |
| 16. Has the SQA prepared and presented training and familiarization programs to all DOE-RL employees responsible for performing and verifying BWIP quality related activities? | QAP 2.0  |                   |   |   |
| 17. Do these programs provide complete coverage of the purpose, scope and implementation of quality related manuals and procedures?  | QAP 2.0  |                   |   |   |
| 18. Are records of training maintained that cover:<br><br>a) Topics covered?<br><br>b) Dates presented?<br><br>c) Attendance List?   | QAP 2.0  |                   |   |   |

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| CHARACTERISTIC   | LOCATION       | EVIDENCE EXAMINED | S | U |
|--|----------------|-------------------|---|---|
| <u>DESIGN CONTROL</u>  |                |                   |   |   |
| 1. Do design activities cover data collection and analyses activities as well as broad level system analysis?  | RP 3.1         |                   |   |   |
| 2. Are performance requirements specified for repository system components which:  | RP 3.2         |                   |   |   |
| a) Identify which items are important to waste isolation?  |                |                   |   |   |
| b) Establish a graded QA approach?   |                |                   |   |   |
| c) Establish data gathering and analysis needs?  |                |                   |   |   |
| 3. Are Organizational responsibilities described from BWIP down to the Technical Manager, Architect Engineer and Construction Manager and lower for preparation, review, approval, verification and validation of design and design information documents? | RP 3.3 and 3.5 |                   |   |   |
| 4. Are errors and deficiencies in approved design and design information documented?   | RP 3.4         |                   |   |   |
| a) Is action taken to assure that all errors and deficiencies are corrected?   |                |                   |   |   |
| b) Is the action taken documented?   |                |                   |   |   |

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AUDIT TEAM MEMBER \_\_\_\_\_

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| CHARACTERISTIC  | LOCATION | EVIDENCE EXAMINED | S | U |
|---|----------|-------------------|---|---|
| <u>DESIGN CONTROL</u> (Continued)   |          |                   |   |   |
| 5. Does QA review design drawings, specifications, criteria, and analysis to assure that the documents are prepared, reviewed and approved in accordance with documented requirements?  | RP 3.6   |                   |   |   |
| 6. Are procedures established that:   | RP 3.7   |                   |   |   |
| a) Describe verification of design and design activities?   |          |                   |   |   |
| b) Require that the verifier be qualified to perform the verification activities and not be directly responsible for the design?  |          |                   |   |   |
| 7. Is peer review conducted for design or design activities which involve the use of untried or state of the art testing and analysis procedures and methods or where detailed technical criteria and requirements do not exist or are being developed? | RP 3.8   |                   |   |   |
| 8. Does a peer review procedure exist that:   | 3.8      |                   |   |   |
| a) Describes the selection process for a peer review group?   |          |                   |   |   |
| b) Describe the process by which the peer group conducts its review?  |          |                   |   |   |

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|--|----------|-------------------|---|---|
| <u>DESIGN CONTROL</u> (Continued)  |          |                   |   |   |
| 9. Do design review procedures contain the following:<br><br>a) Responsibilities of the verifier?<br><br>b) The areas and features to be verified?<br><br>c) The pertinent considerations to be verified?<br><br>d) The type and amount of review documentation to be generated? | RP 3.9   |                   |   |   |
| 10. Are all design changes, including field changes, subject to the same design review controls that were applied to the original design?  | RP 3.10  |                   |   |   |
| 11. Do Project Management Procedures describe the interfaces between all DOE-RL organizations involved in design?  | QAP 3.0  |                   |   |   |
| 12. Has the Project Office identified applicable DOE orders, directives, technical and QA requirements to the Technical Manager for incorporation into DOE approved design documents? How were they transmitted to the Technical Manager?  | QAP 3.0  |                   |   |   |

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|---|----------|-------------------|---|---|
| <u>DESIGN CONTROL</u> (Continued)   |          |                   |   |   |
| 13. Has the Project Office defined and implemented through appropriate Project Management Procedures a documented peer review process engaging independent and qualified reviewers? | QAP 3.0  |                   |   |   |
| 14. Has the Project Office used peer review when:   | QAP 3.0  |                   |   |   |
| a) Major changes are made in a geologic investigation?  |          |                   |   |   |
| b) Major changes are made in a design of a repository?  |          |                   |   |   |
| c) Reports are to be issued that may have a significant effect on site selection and design?  |          |                   |   |   |
| d) Corrective actions are being recommended for deficiencies having major impact on site characterization and selection or on design?   |          |                   |   |   |
| 15. Does the Project Office coordinate the design review activities for hardware and facilities?  | QAP 3.0  |                   |   |   |

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| CHARACTERISTIC  | LOCATION | EVIDENCE EXAMINED | S | U |
|---|----------|-------------------|---|---|
| <u>DESIGN CONTROL</u> (Continued)   |          |                   |   |   |
| 16. Does the Project Office and the SQA approve all design documents for hardware and facilities? | QAP 3.0  |                   |   |   |
| 17. Does the Project Office have copies of all the following documents?                           | OGR/B-1  |                   |   |   |
| a) OGR/B-1 - Baseline Procedures Notebook   |          |                   |   |   |
| b) OGR/B-2 - Generic Requirements for a Mined Disposal System                                     |          |                   |   |   |
| c) OGR/B-3 - OGR QA Plan  |          |                   |   |   |
| d) OGR/B-4 - Work Breakdown Structure   |          |                   |   |   |
| e) OGR/B-5 - Annotated SCP Outline  |          |                   |   |   |
| 18. Who has copy No.:   |          |                   |   |   |
| 40 _____  |          |                   |   |   |
| 41 _____  |          |                   |   |   |
| 42 _____  |          |                   |   |   |
| 43 _____  |          |                   |   |   |
| 44 _____  |          |                   |   |   |
| 45 _____  |          |                   |   |   |



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|--|----------|-------------------|---|---|
| <u>DESIGN CONTROL</u> (Continued)  |          |                   |   |   |
| 19. Does BWIP have these baseline procedures under their internal document control procedures?   |          |                   |   |   |
| 20. The GR Document Introduction states, "The OGR Projects will use the GR Document:<br><br>a) As a generic basis for site-specific design requirements.<br><br>b) As a starting point for site-specific system requirements documents.<br><br>c) As a basis for evaluating the adequacy of the project designs.<br><br>d) To assist in project control of site specific design."<br><br>Discuss with Project Representatives:<br><br>a) How will BWIP pass the requirements on to the responsible project participants?<br><br>b) Will BWIP evaluate the design adequacy internally with support from Rockwell or will the evaluation be subcontracted? | OGR/B-2  |                   |   |   |

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|--|----------|-------------------|---|---|
| <u>DESIGN CONTROL</u> (Continued)  |          |                   |   |   |
| c) What will be BWIP's involvement in design reviews and evaluations?                                      |          |                   |   |   |
| 21. Who are the design agencies for BWIP on:   |          |                   |   |   |
| a) Repository?   |          |                   |   |   |
| b) Engineered barriers?  |          |                   |   |   |
| o waste package  |          |                   |   |   |
| o repository engineered barriers   |          |                   |   |   |
| o shaft and borehole seals   |          |                   |   |   |
| 22. Check to see if and how the following GR requirements were passed on to the responsible design agency. |          |                   |   |   |
| 1.2 - Repository   |          |                   |   |   |
| 2.2 - Engineered Barriers  |          |                   |   |   |

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|--|----------|-------------------|---|---|
| <u>PROCUREMENT DOCUMENT CONTROL</u>  |          |                   |   |   |
| 1. Have written procedures been established that require:  | RP 4.1   |                   |   |   |
| a) Procurement documents to be reviewed by QA personnel to determine that applicable requirements, design bases and other requirements are referenced or stated? |          |                   |   |   |
| b) Procurement documents to be prepared, reviewed and approved in accordance with QA program requirements?   |          |                   |   |   |
| c) Procurement documents to require contractors, subcontractors and consultants to provide an acceptable quality assurance program?                              |          |                   |   |   |
| 2. Are organizational responsibilities described for:  | RP 4.2   |                   |   |   |
| a) Procurement Planning?   |          |                   |   |   |
| b) The preparation, review, approval and control of procurement documents?   |          |                   |   |   |
| c) Supplier Selection?   |          |                   |   |   |
| d) Bid evaluations?  |          |                   |   |   |

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|---|----------|-------------------|---|---|
| <u>PROCUREMENT DOCUMENT CONTROL</u> (Continued)   |          |                   |   |   |
| e) Review and concurrence of supplier QA programs prior to initiation of activities affected by the program?  |          |                   |   |   |
| f) The involvement of the QA organization (DOE)?  |          |                   |   |   |
| 3. Do procurement documents identify items to be delivered to the purchaser for information, review or approval such as:  | QAP 4.0  |                   |   |   |
| a) Reports?   |          |                   |   |   |
| b) Data?  |          |                   |   |   |
| c) Records?   |          |                   |   |   |
| d) Test and Inspection results?   |          |                   |   |   |
| e) Acceptance/rejection criteria?   |          |                   |   |   |
| 4. Does the Project Office provide planning which results in the preparation and approval of the statement of work and the procurement request for all DOE-RL originated procurement actions? | QAP 4.0  |                   |   |   |

## AUDIT CHECK LIST

PROJECT Basalt Waste Isolation ProjectDATES/S April 16-18, 1985AUDIT TEAM LEADER Carl NewtonAUDIT NUMBER 85-B-1

AUDIT TEAM MEMBER \_\_\_\_\_

PERSON INTERVIEWED \_\_\_\_\_

| CHARACTERISTIC  | LOCATION | EVIDENCE EXAMINED | S | U |
|---|----------|-------------------|---|---|
| <u>PROCUREMENT DOCUMENT CONTROL</u> (Continued)   |          |                   |   |   |
| 5. Are contract actions, originated by DOE-RL contractors, but which require DOE-RL approval, reviewed and concurred in by the Project Office?<br><br>a) By what group or groups in the Project Office? | QAP 4.0  |                   |   |   |
| 7. Does the SQA participate in evaluation boards and concur in contracts prior to award?<br><br>a) Is the concurrence documented?   | QAP 4.0  |                   |   |   |
| 8 Have the contract actions awarded by DOE-RL contractors which require DOE-RL approval, been reviewed and concurred in by the SQA?   | QAP 4.0  |                   |   |   |
| 6. Has the SQA reviewed and concurred in the statement of work prepared for all DOE-RL award procurements?  | QAP 4.0  |                   |   |   |
| 9. How are BWIP QA Program requirements imposed on laboratories that are contracted to other field offices?   |          |                   |   |   |

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AUDIT TEAM MEMBER \_\_\_\_\_

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|--|----------|-------------------|---|---|
| <u>INSTRUCTIONS, PROCEDURES AND DRAWINGS</u>   |          |                   |   |   |
| 1. Are organizational responsibilities described for assuring that quality related activities are:   | RP 5.1   |                   |   |   |
| a) Specified in instructions, procedures and drawings?   |          |                   |   |   |
| b) Accomplished thru implementation of these documents?  |          |                   |   |   |
| 2. Are all Project Management Procedures, instructions and revisions approved by, as a minimum:  | QAP 5.0  |                   |   |   |
| a) The Project Director?   |          |                   |   |   |
| b) SQA Director?   |          |                   |   |   |
| 3. Has the acceptance criteria appropriate to the task being described in the procedure been included to help assure quality performance of assigned work? | QAP 5.0  |                   |   |   |

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| CHARACTERISTIC  | LOCATION             | EVIDENCE EXAMINED | S | U |
|---|----------------------|-------------------|---|---|
| <u>DOCUMENT CONTROL</u>   |                      |                   |   |   |
| 1. Do document control procedures:  | RP 6.1<br>and<br>6.2 |                   |   |   |
| a) Identify the types of documents controlled?  |                      |                   |   |   |
| b) Assure technical adequacy and inclusion of appropriate quality requirements?   |                      |                   |   |   |
| c) Establish requirements for review, approval, issuance and revision of documents?   |                      |                   |   |   |
| d) Require QA review and concurrence before release?  |                      |                   |   |   |
| 2. Do the procedures require that approved and applicable documents are available at the work areas before work commences?  | 6.3                  |                   |   |   |
| 3. Has a master list or equivalent document control system been established to identify the current revision of instructions, procedures, specifications, drawings and procurement documents? | 6.5                  |                   |   |   |
| 4. Has a procedure established a method by which obsolete or superseded documents are removed and replaced by applicable revisions at the work area in a timely manner?                       | RP 6.4               |                   |   |   |

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|---|----------|-------------------|---|---|
| <u>DOCUMENT CONTROL</u>   |          |                   |   |   |
| 5. Is there a Project Management Procedure for documents submitted by others to DOE for the review, comment and approval process? | RP 6.0   |                   |   |   |
| 6. Are all documents submitted by others to the DOE controlled by a PMP?  |          |                   |   |   |



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| CHARACTERISTIC  | LOCATION | EVIDENCE EXAMINED | S | U |
|---|----------|-------------------|---|---|
| <u>CONTROL OF PURCHASED MATERIAL, EQUIPMENT AND SERVICES</u>  |          |                   |   |   |
| 1. Do procedures governing procurement of items or services include appropriate QA organization participation in: | RP 7.2   |                   |   |   |
| a) Evaluation and selection of suppliers?   |          |                   |   |   |
| b) Verification of suppliers activities?  |          |                   |   |   |
| 2. Do DOE's procedures require review and acceptance of suppliers documentation?                                  | RP 7.3   |                   |   |   |
| a) Are supplier's QA Manual and Procedures subject to DOE approval?   |          |                   |   |   |
| 3. Are surveillance activities formally planned on an annual basis, with six month updates?                       | QAP 7.0  |                   |   |   |
| 4. Is surveillance performed on all DOE contracted service contractors?   |          |                   |   |   |

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| CHARACTERISTIC   | LOCATION | EVIDENCE EXAMINED | S | U |
|--|----------|-------------------|---|---|
| <u>Nonconformances</u>   |          |                   |   |   |
| 1. Are QA responsibilities related to nonconformances described?                                       | RP 15.2  |                   |   |   |
| 2. Do nonconformance procedures describe the requirements for:   | 15.1     |                   |   |   |
| a) Identifying?  |          |                   |   |   |
| b) Documenting?  |          |                   |   |   |
| c) Tracking?   |          |                   |   |   |
| d) Segregating?  |          |                   |   |   |
| e) Reviewing?  |          |                   |   |   |
| f) Dispositioning?   |          |                   |   |   |
| g) Notifying affected organizations?   |          |                   |   |   |
| 3. Do the procedures identify the individuals authorized to disposition and close out nonconformances? | RP 15.1  |                   |   |   |

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| CHARACTERISTIC   | LOCATION | EVIDENCE EXAMINED | S | U |
|--|----------|-------------------|---|---|
| <u>Nonconformances</u> (Continued)   |          |                   |   |   |
| 4. Does documentation identify and describe:   | RP 15.3  |                   |   |   |
| a) The nonconformance?   |          |                   |   |   |
| b) The disposition?  |          |                   |   |   |
| c) The reinspection?   |          |                   |   |   |
| d) The signature approval of the disposition and the closeout?                           |          |                   |   |   |
| 5. Are nonconformance reports periodically analyzed by QA to:                            | 15.4     |                   |   |   |
| a) Show quality trends?  |          |                   |   |   |
| b) Help identify root causes of nonconformances?   |          |                   |   |   |
| 6. Are these periodic results reported to upper management for review and assessment?    | RP 15.4  |                   |   |   |
| a) By what method?   |          |                   |   |   |
| 7. Does BWIP review and approve all dispositions of significant project nonconformances? | QAP 15.0 |                   |   |   |
| 8. Does a Project Management Procedure define "significant project nonconformances"?     | QAP 15.0 |                   |   |   |

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| CHARACTERISTIC   | LOCATION            | EVIDENCE EXAMINED | S | U |
|--|---------------------|-------------------|---|---|
| <u>Nonconformances</u> (Continued)                                       |                     |                   |   |   |
| 9. Have the personnel performing evaluations to determine a disposition? | NQA 1<br>Sup. 15S-1 |                   |   |   |
| a) Demonstrated competence in the specific area they are evaluating?     |                     |                   |   |   |
| b) Possess adequate understanding of the requirements?                   |                     |                   |   |   |
| c) Been provided access to pertinent background information?             |                     |                   |   |   |

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AUDIT TEAM MEMBER \_\_\_\_\_

PERSON INTERVIEWED \_\_\_\_\_

| CHARACTERISTIC   | LOCATION | EVIDENCE EXAMINED | S | U |
|--|----------|-------------------|---|---|
| <u>CORRECTIVE ACTION</u>   |          |                   |   |   |
| 1. Has an effective corrective action program, concurred with by the QA organization, been established?  | RP 16.1  |                   |   |   |
| 2. Is corrective action documented and initiated for each nonconformance to preclude recurrence?   | 16.2     |                   |   |   |
| 3. Is QA involved in determining the adequacy of corrective action to assure that QA requirements are satisfied?   | 16.2     |                   |   |   |
| 4. Is follow up action taken by QA to:   | 16.3     |                   |   |   |
| a) Verify proper implementation of corrective action?  |          |                   |   |   |
| b) Close out a corrective action in a timely manner?   |          |                   |   |   |
| 5. For significant conditions adverse to quality is the cause of the condition and the corrective action taken to preclude repetition documented and reported to immediate and upper levels of management for review and assessment? | RP 16.4  |                   |   |   |
| 6. Are Corrective Action Requests identified and tracked by this system both DOE-BWIP (Internal) and Contractor (External)?  | QAP 16.0 |                   |   |   |

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AUDIT TEAM MEMBER \_\_\_\_\_

PERSON INTERVIEWED \_\_\_\_\_

| CHARACTERISTIC<br><br><u>CORRECTIVE ACTION</u>                                     | LOCATION | EVIDENCE EXAMINED | S | U |
|--|----------|-------------------|---|---|
| 7. Are corrective actions periodically evaluated for the identification of trends? | QAP 16.0 |                   |   |   |

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PROJECT Basalt Waste Isolation ProjectDATES/S April 16-18, 1985AUDIT TEAM LEADER Carl NewtonAUDIT NUMBER 85-B-1

AUDIT TEAM MEMBER \_\_\_\_\_

PERSON INTERVIEWED \_\_\_\_\_

| CHARACTERISTIC   | LOCATION | EVIDENCE EXAMINED | S | U |
|--|----------|-------------------|---|---|
| <u>QUALITY ASSURANCE RECORDS</u>                         |          |                   |   |   |
| 1. Does the scope of the QA records include:             | RP 17.1  |                   |   |   |
| a) Geotechnical samples and data?                        |          |                   |   |   |
| b) Results of reviews?                                   |          |                   |   |   |
| c) Inspections?  |          |                   |   |   |
| d) Audits?   |          |                   |   |   |
| e) Monitoring of work performance?                       |          |                   |   |   |
| f) Qualification of personnel, procedures and equipment? |          |                   |   |   |
| g) Drawings, specifications, procurement documents?      |          |                   |   |   |
| h) Design review reports?                                |          |                   |   |   |
| i) Peer review reports?                                  |          |                   |   |   |
| j) Nonconformance reports?                               |          |                   |   |   |
| k) Corrective action reports?                            |          |                   |   |   |

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| CHARACTERISTIC  | LOCATION | EVIDENCE EXAMINED | S | U |
|---|----------|-------------------|---|---|
| <u>QUALITY ASSURANCE RECORDS</u> (Continued)  |          |                   |   |   |
| 2. Are QA and other organizations identified with their responsibilities described for the definition and implementation of activities related to QA records? | 17.2     |                   |   |   |
| 3. Are suitable facilities for the records described in procedures, provided, and utilized?   | RP 17.4  |                   |   |   |
| 4. Are records classified as lifetime or non permanent per written procedure?   | NQA-1    |                   |   |   |
| 5. Are DOE/BWIP generated records transferred to the Technical Manager for inclusion in the BWIP Record System?   | QAP 17.0 |                   |   |   |
| 6. Do these DOE/BWIP records include:   | QAP 17.0 |                   |   |   |
| a) Audit Reports?   |          |                   |   |   |
| b) Surveillance Reports?  |          |                   |   |   |
| c) Procurement Documents?   |          |                   |   |   |



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AUDIT TEAM MEMBER \_\_\_\_\_

PERSON INTERVIEWED \_\_\_\_\_

| CHARACTERISTIC   | LOCATION     | EVIDENCE EXAMINED | S | U |
|--|--------------|-------------------|---|---|
| <u>QUALITY ASSURANCE RECORDS</u> (Continued)   |              |                   |   |   |
| d) QA Manuals and Procedures?  |              |                   |   |   |
| e) Review of Contractor QA Manuals?  |              |                   |   |   |
| f) Nonconformance Reports?   |              |                   |   |   |
| g) Corrective Action Requests?   |              |                   |   |   |
| h) Peer Review Reports?  |              |                   |   |   |
| 7. Has a record index been:  | NQA-1<br>2.4 |                   |   |   |
| a) Developed, documented and implemented?  |              |                   |   |   |
| b) Structured to include record retention time?  |              |                   |   |   |
| c) Designed to provide the location of the record within the record system?            |              |                   |   |   |
| 8. Prior to storage of records, has a written procedure been developed that describes: | NQA-1<br>4.1 |                   |   |   |
| a) The storage facility?   |              |                   |   |   |
| b) The filing system to be used?   |              |                   |   |   |

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AUDIT TEAM MEMBER \_\_\_\_\_

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| CHARACTERISTIC   | LOCATION     | EVIDENCE EXAMINED | S | U |
|--|--------------|-------------------|---|---|
| <u>QUALITY ASSURANCE RECORDS</u> (Continued)   |              |                   |   |   |
| c) A method for verifying that the records received are in agreement with the transmittal document and are they legible? |              |                   |   |   |
| d) A method of verifying that the records require storage?   |              |                   |   |   |
| e) The rules governing access to and control of the files?   |              |                   |   |   |
| f) The method for maintaining control and accountability for records removed from the storage facility?                  |              |                   |   |   |
| g) The method for filing supplemental information and disposal of superseded records?                                    |              |                   |   |   |
| 9. In the storage of the records have steps been taken to preclude deterioration of the records by:                      | NQA-1<br>4.2 |                   |   |   |
| a) Provisions in the storage arrangement to prevent damage from moisture, temperature and pressure?                      |              |                   |   |   |

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AUDIT TEAM MEMBER \_\_\_\_\_

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| CHARACTERISTIC   | LOCATION     | EVIDENCE EXAMINED | S | U |
|--|--------------|-------------------|---|---|
| <u>QUALITY ASSURANCE RECORDS</u> (Continued)   |              |                   |   |   |
| b) Having the records firmly attached in binders or placed in folders or envelopes for storage in steel file cabinets or on shelving containers?   |              |                   |   |   |
| c) Making provisions for special processed records (such as radiographs, photographs, negatives, microfilm and magnetic media) to prevent damage from excessive light, stacking, electromagnetic fields, temperature and humidity? |              |                   |   |   |
| 10. Does the record system detail how corrections are to be made in records after they are generated?  | NQA-1<br>2.9 |                   |   |   |
| 11. Has the organization responsible for the receipt of records designated:  | NQA-1<br>3.2 |                   |   |   |
| a) A person or organization responsible for receiving records?   |              |                   |   |   |
| b) A method of designating the required records?   |              |                   |   |   |

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AUDIT TEAM MEMBER \_\_\_\_\_

PERSON INTERVIEWED \_\_\_\_\_

## CHARACTERISTIC

## LOCATION

## EVIDENCE EXAMINED

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QUALITY ASSURANCE RECORDS (Continued)

c) A method of identifying the records received?

d) A procedure for receipt and inspection of incoming records?

## AUDIT CHECK LIST

PROJECT Basalt Waste Isolation ProjectDATES/S April 16-18, 1985AUDIT TEAM LEADER Carl NewtonAUDIT NUMBER 85-B-1

AUDIT TEAM MEMBER \_\_\_\_\_

PERSON INTERVIEWED \_\_\_\_\_

| CHARACTERISTIC   | LOCATION | EVIDENCE EXAMINED | S | U |
|--|----------|-------------------|---|---|
| <u>AUDITS</u>  |          |                   |   |   |
| 1. Does DOE Project Office perform audits of its Technical Manager, Architect-Engineer, Construction Manager and representative subcontractors, consultants, vendors, and laboratories to assess the effectiveness of the Technical Manager audit program? | RP 18.1  |                   |   |   |
| 2. Has an audit plan been developed that:  | 18.2     |                   |   |   |
| a) Identifies the audits to be performed?  |          |                   |   |   |
| b) The frequency of the audits?  |          |                   |   |   |
| c) The schedule of the audits?   |          |                   |   |   |
| 3. Are audits regularly scheduled based on the status and safety importance of the activity being performed and are they initiated early enough to assure an effective QA program?   | 18.2     |                   |   |   |
| 4. Do the Audit reports include:   | RP 18.3  |                   |   |   |
| a) An objective evaluation of the quality related practices, procedures, instructions, activities and items?   |          |                   |   |   |
| b) A review of documents and records to ensure that the QA program is effective and properly implemented?  |          |                   |   |   |

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PERSON INTERVIEWED \_\_\_\_\_

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|--|----------|-------------------|---|---|
| <u>AUDITS</u> (continued)  |          |                   |   |   |
| 5. Is audit data analyzed by the QA Organization and the results reported to responsible management for review, assessment and appropriate action?   | RP 18.4  |                   |   |   |
| 6. Are audits performed:<br>a) In accordance with pre-established written procedures or checklists?<br><br>b) By trained personnel having no direct responsibility in the areas being audited? | 18.5     |                   |   |   |
| 7. Has a tracking system for audit findings been established to help assure that all findings are appropriately addressed?   | 18.6     |                   |   |   |
| 8. Has a tracking system for audit findings been established to trend audit findings?  | 18.6     |                   |   |   |
| 9. Has the audited organization described, in a formal report, the corrective action to be taken to correct audit findings?  | 18.7     |                   |   |   |
| 10. Is this report submitted to the auditing organization and/or responsible management?   | RP 18.7  |                   |   |   |

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|--|-----------------------|-------------------|---|---|
| <u>AUDITS</u> (continued)  |                       |                   |   |   |
| 11. For each audit finding is the root cause of each finding identified and the corrective action for it described?  | RP 18.8               |                   |   |   |
| 12. Does the audit schedule include internal audits of the DOE/BWIP QA program to determine its effectiveness?   | QAP-18.0              |                   |   |   |
| 13. Do these internal audits cover all aspects such as:<br><br>a) The Project Office?<br><br>b) Safety and Quality Assurance Division?<br><br>c) Procurement Division? | QAP-18.0              |                   |   |   |
| 14. Are scheduled audits supplemented by additional audits of specific subjects when necessary to provide adequate coverage?   | NQA-1<br>18S-1<br>2.0 |                   |   |   |
| 15. Has an audit plan been identified for each audit that identifies the:  | NQA-1<br>3.1          |                   |   |   |

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|---|--------------|-------------------|---|---|
| <u>AUDITS</u> (continued)   |              |                   |   |   |
| a) Audit scope?   |              |                   |   |   |
| b) Audit requirements?  |              |                   |   |   |
| c) Audit personnel?   |              |                   |   |   |
| d) Activities to be audited?  |              |                   |   |   |
| e) Organizations to be notified?  |              |                   |   |   |
| f) Applicable documents?  |              |                   |   |   |
| g) Schedule?  |              |                   |   |   |
| h) Written procedures or checklists?  |              |                   |   |   |
| 16. Has the adequacy of audit responses been evaluated by or for the auditing organization?       | NQA-1<br>6.0 |                   |   |   |
| 17. Is follow up action taken to verify that the corrective action was accomplished as scheduled? | NQA-1<br>7.0 |                   |   |   |



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|---|--------------|-------------------|---|---|
| <u>AUDITS</u> (continued)   |              |                   |   |   |
| 18. Do audit records include:<br><br>a) Audit plans?<br><br>b) Audit reports?<br><br>c) Written responses?<br><br>d) A record of completion of corrective action? | NQA-1<br>8.0 |                   |   |   |
| 19. Does the SQA also train and certify lead auditors and qualify auditors to the requirements prescribed by Project Management Procedures?                       | QAP 2.0      |                   |   |   |
| 20. Does BWIP QA Audit laboratories that are contracted to other field offices but which work on BWIP?  |              |                   |   |   |