

Activity Program Review/Audit

1.0 Purpose This guideline provides a method to ensure that authorities and responsibilities for overall quality assurance program reviews/audits are clearly defined and the activity is effectively implemented.

2.0 Scope This guideline provides direction to evaluate nuclear operations review and audit functions to ensure that authorities and responsibilities are clearly defined and that program procedures are effectively implemented including:

- Quality assurance program audits.
- Engineering design audits.
- Independent Review Committee evaluations.
- Management evaluation of the corporate QA program.

References

1. Technical specifications.
2. ANSI N18.7.
3. Administration instructions.
4. ANSI N45.2.12.
5. ANSI N45.2.23.

3.0 Guidelines

3.1 In preparation for and during the conduct of this surveillance

- Obtain and review implementing procedures, instructions, and drawings governing this activity.
- Prepare a guide or checklist using the selected items from this guideline.
- Review past surveys, audits, surveillances, and other evaluations/assessments.
- Ensure that checklists include, where applicable, actual observations of performance, general plant conditions, radiological work practices, housekeeping, work document controls and use, and safety practices.

Note: Refer to Chapter 1 for specific details on the attributes listed above.

- 3.2** Review schedules and audit/evaluation dates to ensure that audits are conducted within specified intervals.
- 3.3** Review audit/evaluation results and status to ensure that corrective actions are implemented in a timely manner.
- 3.4** Verify that follow-up and closure of audits/evaluation results is conducted in a timely manner.
- 3.5** Review corrective actions and audit findings/evaluation results to verify corrective action effectiveness.

- 3.6 Verify that reports are distributed and reviewed to appropriate levels of management.
- 3.7 Review trend reports to compare audit/evaluation results against trend performance data.
- 3.8 Review audit/evaluation results against program or organization nonconformance systems to evaluate audit/evaluation effectiveness.
- 3.9 Review previous audit/evaluation results to evaluate report findings or continuing problems.
- 3.10 Review audit/evaluation reports issuance to ensure that reports are issued within required time frames.
- 3.11 Verify that provisions are in place to escalate unacceptable corrective actions to appropriate levels of management.
- 3.12 Verify that documented personnel qualifications are consistent with program requirements.
- 3.13 Verify that checklist preparation and input items consider previous audits, evaluations, and nonconformances identified by other groups (e.g., utility, industry, NRC).
- 3.14 Verify that provisions are in place for immediate notification of management of significant nonconformances.

4.0 Other Guidelines for Consideration

- 4.1 See Chapter 1, “General Quality Surveillance Guidance.”