

**U.S. Department of Energy
Quality Assurance and Management Systems**

Line of Inquiry and source	Compliance			Findings/observation	Comments
	No	Yes	N/A		
1.0 Facility Organization and Resource Allocation					
1.1 Facility has a written QA program? (ASME NQA-1, Basic Requirement 2)					
1.2 Roles, responsibilities, and authorities for QA/QC have been defined and documented? (ASME NQA-1, Basic Requirement 1)					
1.3 QA oversight function is centralized and administered effectively? (ASME NQA-1, Basic Requirement 1)					
1.4 Existing resources are allocated to provide effective implementation of QA? (ASME NQA-1, Basic Requirement 1)					
2.0 Facility Personnel Training and Qualifications					
2.1 A formal training program exists for data collection activities (i.e., sampling, analysis, data review, data validation, and data assessment)? (ASME NQA-1, Basic Requirement 2)					
2.2 Evidence of training performance included in facility records? (ASME NQA-1, Basic Requirement 2)					

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2.3 Needs assessments are routinely conducted to identify and update project training needs? (ASME NQA-1, Basic Requirement 2)					
2.4 Training records adequately reflect the training that has been conducted? (ASME NQA-1, Basic Requirement 2)					
3.0 Quality Improvement					
3.1 Nonconformances tracked and trended to identify performance trends? (ASME NQA-1, Basic Requirement 2)					
3.2 Facility uses process controls to affect overall improvement in accuracy and precision? (ASME NQA-1, Basic Requirement 9)					

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4.0 Documents and Records					
4.1 All pertinent records (e.g., COC records, QC data, field logbooks) needed for data defensibility have been defined? (ASME NQA-1, Basic Requirement 17)					
4.2 Logbooks are controlled through a documented system? (ASME NQA-1, Basic Requirement 6)					
4.3 Records are appropriately indexed and stored for long-term retrievability and protection from loss? (ASME NQA-1, Basic Requirement 17)					
4.4 Adequate facilities exist for records storage? (ASME NQA-1, Basic Requirement 17)					
5.0 Procedures/Work Processes					
5.1 QA plan, policies, and procedures have been identified and prepared to assure that facility activities are consistently performed and documented? (ASME NQA-1, Basic Requirement 5)					
5.2 Controlled procedures are present at the work station? (ASME NQA-1, Basic Requirement 6)					
5.3 A system is in place for conducting routine needs assessments for policies and SOPs? (ASME NQA-1, Basic Requirement 18)					

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5.4 SOPs are issued under a document control system, which ensures that all staff have the current revisions? (ASME NQA-1, Basic Requirement 6)					
5.5 Systems are in place to ensure that all project staff are aware of and understand the requirements and policies that apply to the work they are performing? (ASME NQA-1, Basic Requirement 2)					
6.0 Measuring and Test Equipment					
6.1 Measuring and test equipment are controlled and identified? (ASME NQA-1, Basic Requirement 12)					

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7.0 Management Assessments					
7.1 Facility has a formal program for conducting routine assessments (surveillances, inspections, and audits) of internal and subcontractor activities? (ASME NQA-1, Basic Requirement 10, 18)					
7.2 A nonconformance reporting system has been implemented to identify important data collection problems, occurrences, and issues that are not part of scheduled assessments? (ASME NQA-1, Basic Requirement 16, 18)					
7.3 A formal corrective action tracking system exists to ensure that all issues and NCRs are assigned to responsible individuals and are tracked to resolution? (ASME NQA-1, Basic Requirement 16)					

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8.0 Independent Assessments					
8.1 The facility has a formal program for tracking findings and implementing corrective actions resulting from independent assessments conducted by outside agencies (i.e., DOE, state regulators, and OSHA)? (ASME NQA-1, Basic Requirement 18)					
8.2 Detailed schedules for implementing corrective actions are adhered to by the facility? (ASME NQA-1, Basic Requirement 16)					