



CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES QUALITY ASSURANCE SURVEILLANCE REPORT

PROJECT NO.: 20-5702-154

REPORT NO.: 94-07

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SURVEILLANCE SCOPE: Thirty-two (32) Scientific Notebooks were evaluated for compliance with QAP-001, Revision 1 in response to Corrective Action Request (CAR) 94-02. Due to the close relationship between QAP-001 and QAP-014, compliance to QAP-014, Revision 0 was also evaluated. The requirements of both QAP-001 and QAP-014 were reviewed with appropriate personnel during this evaluation.

REFERENCE DOCUMENTS:

QAP-001, Revision 1, "Scientific Notebook Control"

QAP-014, Revision 0, "Documentation and Verification of Routine Calculations"

Corrective Action Request 94-02

Notebook No.'s 03, 21, 23, 28, 34, 35, 36, 42, 44, 46, 47, 49, 50, 52, 54, 57, 60, 62, 78, 82, 83, 84, 85, 86, 87, 92, 98, 103, 104, 110, 111, 116.

STARTING DATE: July 12, 1994

ENDING DATE: August 22, 1994

QA REPRESENTATIVE: R. W. Folck, SwRI Institute QA *RWF*

PERSONS CONDUCTING TEST/EXAM/ACTIVITY:

P. Bertetti, R. Green, D. Turner, W. Murphy, J. Prikryl, E. Percy, S. Nguyen, D. Ferrill, D. Dunn, S. Young, R. Brient, H. Castellaw, K. Meyer, G. Rice.

SATISFACTORY FINDINGS:

Personnel interviewed are aware of QAP-001 and QAP-014 procedural requirements. However, discrepancies were identified in all notebooks reviewed. These problems have been reviewed with appropriate personnel and corrections have been or are being made. Follow-up review and verification will be performed.

UNSATISFACTORY FINDINGS:

1. See above.
2. Notebooks 011, 012, 013, and 019 had been removed from record storage for copying. A record of their removal was not developed. They have since been returned to the CNWRA QA records room.
3. Notebooks 033, 102, and 109 cannot be located.

NONCONFORMANCE REPORT NO.: N/A, Refer to CAR 94-02

ATTACHMENTS: CNWRA Notebook Review Summary, Pages 1 - 4

RECOMMENDATIONS/ACTIONS:

See page 2 of 2.

APPROVED: *[Signature]*
CENTER DIRECTOR OF QUALITY ASSURANCE

DATE: *8/26/94*

DISTRIBUTION:

ORIGINAL - CENTER QA DIRECTOR

ORIGINATOR

PRINCIPAL INVESTIGATORS: N/A

ELEMENT MANAGERS: P. Nair, A. Chowdhury, L.

McKague, R. Baca, P. Mackin

B. Sagar (T.D.)

RECOMMENDATIONS/ACTIONS:

1. Follow-up on unsatisfactory items noted above.
2. The following changes to QAP-001 should be considered:
 - a. Allow use of electronic notebooks. Guidelines on format, access, and printing should be discussed.
 - b. Change "All data taken..." to "Significant data taken..." in paragraph 3.5. This will preclude the need to keep or reference interim results or interim test data files.
 - c. References to "uncontrolled" data should be discussed, i.e. pictures, reports ^{from QAP 8/26/94} for universities, raw test data, computer files, etc.
 - d. Paragraph 3.10 implies that entries are to be made sequentially. This is not possible for certain laboratory work where one notebook is used for several tests being conducted simultaneously over a relatively long period of time or, when a notebook is initially setup using an index and pages are skipped to be filled in at a later date.
3. Specific QAP-001/QAP-014 training is needed for each new employee, including students, who are using scientific notebooks or who need to apply the documentation and verification of routine calculations. This training should go beyond orientation.
4. Require all backups, LAN and others, to be stored in the CNWRA records vault.

CNWRA Notebook Review Summary
June - August, 1994
Randy Folck
CAR 94-02
Update: 8/22/94

Notebook No.	Notebook Owner/ User(s)	Date Reviewed	Comments	Date Resolved
048	Aaron DeWispelare	6/23/94	Yes	
059	Renner Hofmann	6/15/94	Yes	
022	Bill Murphy	6/17/94	Yes	7/12/94
037	"	6/17/94	No	N/A
094	"	6/17/94	Yes	7/12/94
049	"	7/12/94	Yes	7/12/94
095(Elec) 102	Peter Lichtner "	6/23/94 ?	Yes	
107	Hengameh Karimi	6/22/94	No-Empty	N/A
108	"	6/22/94	No-Empty	N/A
105	Goodluck Ofoegbu	6/21/94	No-Empty	N/A
089	Miklas/Janetzke/ Dertatevasion	6/22/94	Yes	
096		6/22/94	Yes	
099	Kathy Spivey	6/22/94	No	N/A
091	Patrick LaPlante	6/23/94	Yes	
042	J. Prikryl	8/5/94	Yes	8/5/94
058	Prikryl/Bertetti	7/7/94	Yes	
061	Pabalan/Bertetti	7/7/94	Yes	
038	"	7/7/94	Yes	
081	"	7/7/94	Yes	
020	"	7/7/94	Yes	
026	"	7/8/94	Yes	
37-1	"	7/8/94	Yes	
082	"	8/12/94	No	NA
060	"	8/12/94	Yes	
015	Paul Bertetti	7/8/94	Yes	
031	Leslie/Bertetti	7/8/94	Yes	

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Notebook No.	Notebook Owner/ User(s)	Date Reviewed	Comments	Date Resolved
035	Leslie/Bertetti	8/15/94	Yes	
075	Pearcy/Bertetti	7/8/94	Yes	
024	"	7/8/94	Yes	
041	"	7/7/94	Yes	
021	E. Pearcy	8/15/94	Yes	
036	"	8/15/94	Yes	
044	Pearcy/Nguyen	8/19/94	Yes	
084	Pearcy/Pickette	8/16/94	Yes	
050	Pearcy/Pan	8/16/94	Yes	
046	D. Turner	7/12/94	Yes	8/16/94
057		7/12/94	Yes	
056	B. Hill			
088	"			
097	"			
072	C. Connor			
073	"			
079	"			
090	"			
100	D. Ferrill	7/29/94	Yes	7/29/94
101	"	7/29/94	No	N/A
027	Cragolino/Dunn	7/27/94	Yes	
032	"	7/27/94	Yes	
028	H. Manaktala			
039	"			
040	"			
103	"	8/5/94	Yes	
025	Sridhar/Dunn	7/27/94	Yes	
045	"	7/27/94	Yes	
009	"	7/27/94	Yes	
085	"	8/5/94	Yes	
086	"	8/5/94	Yes	
109	Sridhar	?		

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Notebook No.	Notebook Owner/ User(s)	Date Reviewed	Comments	Date Resolved
112 113 114	Henderson/Young " "			
034 051 054 033	Morris/Young " " Young	8/5/94 8/5/94 ?	No-Empty Yes	N/A
065 066 067 068 069	R. Bagtzoglou " " " "			
093	Baca/Nedungadi			
076 077	G. Wittmeyer "			
074 106	S. Mohanty "			
070 071	B. Sagar "			
092	Manteufel/Castellaw	8/10/94	No	NA
063 074	S. Hsiung/ Pickens(04)/Kana(04)	6/21/94 6/21/94	Yes Yes	
105	Ofoegbu/Hsiung			
017 018 064	S. Hsiung " "			
111	R. Brient	7/29/94	No	N/A
078 083 087	Manteufel/Green " "	8/12/94 8/12/94 8/12/94	Yes Yes Yes	

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Notebook No.	Notebook Owner/ User(s)	Date Reviewed	Comments	Date Resolved
028 052 003	Green/Svedeman " "	8/12/94 8/10/94 8/12/94	Yes Yes Yes	
023 047 062 098 104 110 116	R. Green " " " Green/Rice R. Green R. Green	8/12/94 8/12/94 8/12/94 8/12/94 8/12/94 8/12/94 8/12/94	Yes Yes Yes Yes Yes Yes No-Empty	NA