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CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES QUALITY ASSURANCE SURVEILLANCE REPORT

PROJECT NO: 20.01402.159

REPORT NO: 01-06

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SURVEILLANCE SCOPE: Surveillance on Corrective Action Requests (CARs); Nonconformance Reports (NRs); and Surveillance Reports (SRs).

REFERENCE DOCUMENTS: CNWRA Quality Assurance Manual and QAP-004 Surveillance Control Procedure

STARTING DATE: 8 June 2001

ENDING DATE: 8 June 2001

QA REPRESENTATIVE: Mark R. Ehnstrom

PERSONS CONDUCTING TEST/EXAM/ACTIVITY: Bruce Mabrito

SATISFACTORY FINDINGS:

Surveillance activities were performed on CARs, NRs and SRs initiated during the last 3 years to determine if any adverse trends could be identified. This information was further broken down to identify which specific areas in 10 CFR 50 Appendix B with which the findings were associated. Fifty-four individual findings were evaluated during the surveillance. Many of the individual criterion of Appendix B contained none or a few findings, and two areas contained larger numbers of findings. Section 3, Scientific/Engineering Investigation and Analysis Control, contained 22 findings and criterion 12, Control of Measuring and Test Equipment, contained 12 findings. All the documents reviewed had been satisfactorily closed.

UNSATISFACTORY FINDINGS:

Two areas of the quality program were identified as having substantially more findings in them when compared to other parts of the program. One of these areas, Control of Measuring and Test Equipment, can be explained because of program requirements requiring a nonconformance report each time an instrument is found to be out of calibration. The second area, Section 3, Scientific/Engineering Investigation and Analysis Control, is more complex to explain. It appears that the two major findings in this area are concentrated in the areas of quality planning, for example, planning documents used to control software development activities, and in scientific notebook control.

NONCONFORMANCE REPORT NO: None

ATTACHMENTS: Attachment A shows the adverse findings data for years 1998-2000.

RECOMMENDATIONS/ACTIONS:

A review should be performed to determine if requirements contained in procedure TOP-018, Development and Control of Scientific and Engineering Software, are too difficult to adhere to, or, if the procedure should be divided into easier-to-understand, smaller, more precise procedures.

APPROVED:

CNWRA DIRECTOR OF QUALITY ASSURANCE

DATE:

6/13/2001

DISTRIBUTION:

ORIGINAL - CNWRA QA DIRECTOR QA Records
ORIGINATOR
PRINCIPAL SCIENTIST- N/A
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CNWRA ADVERSE TREND ANALYSES
(A HISTORICAL PERSPECTIVE)
1998-2000

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ATTACHMENT A

Appendix B Criterion	1998	1999	2000	Total	Risk
I	0	0	0	0	1
II	N5	C4	C1,C7,N7,N9	6	1
III	N3,N1,N2,N3 C1,S2,S25,S28	N2,N3,N5,N6, C1,C5,S21,S24	N2,N3,C2 S2,S12,S14	22	5
IV	0	0	N1	1	1
V	0	0	N8,C3	2	1
VI	S5	0	C5	2	1
VII	C2	C2,N1,S6	0	3	1
VIII	N4,S7	0	0	2	1
IX	0	0	0	0	1
X	0	0	N10	1	1
XI	S3	0	0	1	1
XII	N6,N7,N8,N9,N10 N12, S4, S26	N4	N4,N5,N6	12	3
XIII	0	0	0	0	1
XIV	0	0	0	0	1
XV	0	0	0	0	1
XVI	0	C3	C6	2	5
XVII	0	0	0	0	1
XVIII	0	0	0	0	1

S= Surveillance
C= Corrective Action
N= Nonconformance Report

1= Low Risk = 0 to 7 Findings
3= Moderate Risk = 8 to 15 Findings
5= High Risk = 16 to 22 Findings or
Repetitive Findings/Problems