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CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES QUALITY ASSURANCE SURVEILLANCE REPORT

PROJECT NO.: 20-5708-159

REPORT NO.: 97-09

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SURVEILLANCE SCOPE: A check on the return of CNWRA Controlled Document Transmittal and Acknowledgement Records, to verify that individuals who have received controlled documents have in fact received them and returned the appropriate acknowledgement sheet(s).

REFERENCE DOCUMENTS: QAP-008, Document Control, Section 3.4.5.

STARTING DATE: 5/22/97

ENDING DATE: 6/6/97

QA REPRESENTATIVE: B. Mabrito/J. Bohn

PERSONS CONDUCTING TEST/EXAM/ACTIVITY: Various staff who have received CNWRA controlled documents.

SATISFACTORY FINDINGS: The CNWRA Master Document List was utilized, reviewed and compared to the individual controlled document folders which contained the returned acknowledgement sheets. According to J. Bohn who performed the checking activity, about 85-percent of the acknowledgement sheets had been returned to CNWRA Document Control as originally requested. A list was made of those individuals who had not returned their acknowledgement sheets and that list was presented to the Director of QA who made the decision to contact only those CNWRA and SwRI staff members who had not returned the signed acknowledgement sheets. It was decided that NRC staff, and CNWRA/SwRI staff members no longer with the CNWRA/SwRI would not be contacted for return of their acknowledgement sheets.

During the period of a work week, J. Bohn individually contacted CNWRA staff and SwRI staff who had not responded with signed acknowledgement sheets and obtained signatures attesting they had received the controlled documents. Several follow up visits were made to CNWRA staff to ensure they had received the controlled document and signed the appropriate acknowledgement sheet.

It should be noted that, historically, NRC staff members have been requested to provide the acknowledgement sheets when they receive a document, but since they are our sponsor, the CNWRA has not pressured them to respond by returning the acknowledgement sheets.

UNSATISFACTORY FINDINGS: There were no unsatisfactory findings concerning this limited scope surveillance.

NONCONFORMANCE REPORT NO.: N/A.

ATTACHMENTS: Working list utilized by J. Bohn to identify individuals needing to return acknowledgement sheet(s).

RECOMMENDATIONS/ACTIONS: None.

APPROVED:


CENTER DIRECTOR OF QUALITY ASSURANCE

DATE:

6/6/97

DISTRIBUTION:

ORIGINAL - CENTER QA DIRECTOR QA Records
ORIGINATOR B. Mabrito
PRINCIPAL INVESTIGATOR N/A
ELEMENT MANAGER N/A
B. Sagar, H. Garcia
J. Bohn

RETURN OF ACKNOWLEDGMENT SHEETS CHECK

CNWRA Quality Assurance Manual

06/04/96 Rev.2 Chg.10 - ALL IN

05/21/97 Rev.2 Chg.11 - Barbara Stiltenspole*

John Russell

Barbara Meehan*

Amos Holt

Shirley Fortuna*

CNWRA MANAGEMENT PLAN

05/20/96 Rev.5 Chg. 0 ALL IN

06/26/96 Rev.5 Chg. 1 ALL IN

05/23/97 Rev.6 Chg. 0 Barbara Stiltenspole*

John Russell

Barbara Meehan*

Shirley Fortuna*

CNWRA OPERATIONS PLANS

12/30/96 Rev.9 Chg. 0 Barbara Stiltenspole*

Shirley Fortuna*

02/20/97 Rev.9 Chg. 1 Barbara Stiltenspole*

Shirley Fortuna*

04/07/97 Rev.9 Chg. 2 Barbara Stiltenspole*

Shirley Fortuna*

OPERATIONS PLAN FOR THE WASTE SOLIDIFICATION SYSTEM (FY97)

07/30/96 Rev.6 Chg. 0 Hengameh Karimi - TERMINATED

12/30/96 Rev.6 Chg. 1 Barbara Stiltenspole*

Gary Comfort, Jr.*

04/07/97 Rev.6 Chg. 2 Barbara Stiltenspole*

Barbara Meehan*

Shirley Fortuna*

Gary Comfort, Jr.*

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**OPERATIONS PLAN FOR TECHNICAL ASSISTANCE RELATED TO
TANK WASTE REMEDIATION SYSTEM LICENSING**

10/14/96 Rev.0 Chg. 0 **Barbara Stiltenspole***

11/12/96 Rev.0 Chg. 1 **Barbara Stiltenspole***

02/20/97 Rev.0 Chg. 2 **Barbara Stiltenspole***

Shirley Fortuna*

AP-001-EVALUATION OF POTENTIAL CONFLICT OF INTEREST

06/03/96 Rev.3 Chg. 0 **ALL IN**

AP-002-CORRESPONDENCE AND COMMITMENT CONTROL

01/24/95 Rev.1 Chg. 0 **ALL IN**

**AP-004-PUBLIC, MEDIA, ORGANIZATION AND CONGRESSIONAL
INQUIRIES**

05/18/95 Rev.1 Chg. 0 **Gus Van Steenberg - NO LONGER WITH
COMPANY**

AP-005-SUBCONTRACT SUBMISSION AND APPROVAL

05/22/95 Rev.1 Chg. 0 **ALL IN**

AP-006-CONSULTANT AGREEMENT SUBMISSION AND APPROVAL

05/19/95 Rev.1 Chg. 0 **Tony Magaro**

**AP-010-LABORATORY CHEMICAL HYGIENE PLAN AND
STANDARD OPERATING PROCEDURES (SOP) FOR THE CENTER
NUCLEAR WASTE AND REGULATORY ANALYSIS LABORATORY**

04/16/96 Rev.1 Chg. **ALL IN**

AP-015-DIFFERING PROFESSIONAL VIEWS

05/10/96 Rev.0 Chg. 0 **ALL IN**

**TOP-001-15-RPD LOADING CONTROL, VERSION CONTROL &
CHANGE CONTROL**

07/11/95 Rev.1 Chg. 0 **ALL IN**

**TOP-018-DEVELOPMENT AND CONTROL OF SCIENTIFIC AND
ENGINEERING SOFTWARE**

04/03/97 Rev.5 Chg. 0 **Barbara Stiltenspole***

Tim McCartin*

Ronald Martin - PROCEDURES

WITHDRAWN FROM MARTIN

Shirley Fortuna*

James Firth*

