



CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES QUALITY ASSURANCE SURVEILLANCE REPORT

PROJECT NO.: 20.06002.01.031

REPORT NO.: 2003-22

PAGE 1 OF 2

SURVEILLANCE SCOPE: Surveillance activities associated with the Licensing Support Network (LSN) using procedure AP-019, Records Management.

REFERENCE DOCUMENTS: QAP-004 Surveillance Control and AP-019 Records Management

STARTING DATE: 12/09/03

ENDING DATE: 12/10/03

QA REPRESENTATIVE: Mark R. Ehnstrom

PERSONS CONDUCTING TEST/EXAM/ACTIVITY: Patrick Mackin, Maria Padilla, and Corky Gray

SATISFACTORY FINDINGS:

A requested surveillance was performed on activities associated with the LSN using procedure AP-019, Records Management. Preliminary document preparedness activities were witnessed in the CNWRA Library. Since the documents at the time of the surveillance had been previously stored in the QA Records Room, they already had an Electronic Library Filing (ELF) system number. Document Submission and Target Forms were prepared for the documents. Surveillance resumed at the Publications Department in Building 152. The complete document control process was explained, beginning with arrival of documents at publications through generation of the compact disk (CD). Publications personnel appeared to have a complete understanding of the process and also the equipment and software programs being used. During the surveillance, it was noted that when additional information was requested concerning a scientific notebook, publications staff were provided additional guidance from CNWRA staff. Other scenarios concerning potential document problems and procedure requirements were discussed with the publications supervisor. At both the CNWRA Library and Publications Department, the staff were knowledgeable of procedural requirements.

UNSATISFACTORY FINDINGS: None

NONCONFORMANCE REPORT NO.: N/A
CORRECTIVE ACTION REQUEST NO.: N/A

ATTACHMENTS: None

RECOMMENDATIONS/ACTIONS:

Prior to the surveillance procedure AP-019 was reviewed and the following editorial comments were noted and should be addressed:

- Paragraph references beginning in paragraph 4.2 are incorrect.
- 1st bullet under paragraph 5.1.2.2(b) discusses records prior and subsequent to fiscal year 1999. Need to add "including 1999."
- Figure 1 decision box which states "Are files to be placed in LSN?" should be moved under the box that instructs to "Create CD(s)."

During the surveillance, the following comments were generated

- Paragraph 5.1.5, 2nd bullet: remove the performance of the daily operational test since this is now contained in the scanners start up sequence.
- Appendix B, paragraph B.1.2, Calibration, 2nd paragraph: remove references of the scanners requiring monthly calibration with the IT8 scanner target.
- Appendix B, paragraph B.1.2, 3rd paragraph: remove the requirement to scan the master set of calibration settings and OCR processed at the start of each day.

It was also noted that procedure AP-019, Records Management, is not available online to CNWRA support staff on the CNWRA "tuti" drive.

A copy of the current AP-019 procedure should be sent to personnel performing LSN activities. This procedure would then be "marked up" and current process activity would be more accurately described in the resulting revised procedure. The surveillance found this to be needed in the publications area, especially in describing the current equipment requirements that have changed since the original procedure was issued.

APPROVED: *L. Mackin*
CENTER DIRECTOR OF QUALITY ASSURANCE

DATE: 12/12/03

DISTRIBUTION:
ORIGINAL -

QA Records
CNWRA QA DIRECTOR
ORIGINATOR : M. Ehnstrom
PRINCIPAL INVESTIGATOR: N/A
ELEMENT MANAGER : N/A
P. Mackin