



CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES QUALITY ASSURANCE SURVEILLANCE REPORT

PROJECT NO.: 20.06002.01.330

REPORT NO.: 2005-03

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SURVEILLANCE SCOPE: Implementation of the Records Management Retention Policy in the Mining, Geotechnical & Facilities Engineering (MGFE) Element

REFERENCE DOCUMENTS: AP-019, Records Management

STARTING DATE: 1/06/05

ENDING DATE: 1/19/05

QA REPRESENTATIVE: Mark R. Ehnstrom 

PERSONS CONDUCTING TEST/EXAM/ACTIVITY:

A. Chowdhury, S. Hsiung, A. Ghosh, D. Gute, B. Dasgupta, G. Ofoegbu, and G. Adams

SATISFACTORY FINDINGS:

A surveillance was performed to determine the degree of compliance with the record retention requirements identified in procedure AP-019, Records Management.

Approximately one month prior to the surveillance, instruction was given to the group on the requirements contained in the procedure. Instruction concentrated on documents which are and are not appropriate to maintain in the office environment which include both hard copy and electronic documents. The instruction also identified documents which should be submitted into the Electronic Library Facility (ELF).

Meetings were held with MGFE staff individually. A quick inventory of the types of documents located in an individual's office was performed and individual documents were reviewed to determine whether to keep or discard them. After hard copy documents had been reviewed, activities shifted to electronic and email files. Hard drive files and folders were reviewed to determine if information contained in them should be removed. Shared drives were also reviewed.

During the surveillance the ease at which a document could be recalled from ELF was demonstrated. However, several times during these demonstrations the document requested was not located in ELF. In most cases, these documents are planned for loading into ELF in the future.

Among the good practices observed were:

1. Locating and segregating all High Level Waste (HLW) documents in one location. This will help isolate any documents if access is needed during the licensing discovery process.
2. Eliminating e-mail messages which had outlived their purpose. If an e-mail folder was made during the course of preparation on a document, once that document had been delivered, that e-mail folder was erased.
3. Keeping only CNWRA issued reports that pertain to current work activities. If current work activities are related to previously issued reports, individuals kept reports for ready reference to expedite the work currently being performed.

UNSATISFACTORY FINDINGS: None
NONCONFORMANCE REPORT NO.: N/A
CORRECTIVE ACTION REQUEST NO.: N/A

ATTACHMENTS: None

RECOMMENDATIONS/ACTIONS:

Criteria to keep or discard several types of documents was not clear. Additional guidance is needed for:

- Technical Exchange Meeting Minutes & Agreements
- Issue Resolution and Status Reports
- Previous years Conflict of Issues Packages
- Previously presented presentation materials

APPROVED: 
CENTER DIRECTOR OF QUALITY ASSURANCE

DATE: 1-21-05

DISTRIBUTION:

ORIGINAL - QA Records
CNWRA QA DIRECTOR
ORIGINATOR
PRINCIPAL INVESTIGATORS: A. Ghosh, D. Gute,
S. Hsiung, B. Dasgupta, G. Ofoegbu, G. Adams
ELEMENT MANAGER: A. Chowdhury
B. Sagar