GEOSCIENCES AND ENGINEERING DIVISION QUALITY ASSURANCE PROCEDURE	Proc. QAP–004 Revision 5 Chg 0 Page 1 of 4

Title: **QAP–004 SURVEILLANCE CONTROL**

EFFECTIVITY AND APPROVAL

Revision 5 of this procedure became effective on August 15, 2005. This procedure consists of the pages and changes listed below.

Page No.	Change	Date Effective
All	0	08/15/05

Supersedes Procedure No. QAP–004, Rev. 4, Chg. 1, dated 7/15/2004

Approvals

Prepared by	Date	Approved by	Date
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QAP–004 SURVEILLANCE CONTROL

1. PURPOSE

The purpose of this procedure is to describe the methods of planning and scheduling, conducting, and documenting surveillance activities. This procedure implements the requirements of the Geosciences and Engineering Division (Division) Quality Assurance Manual Section 18, Audits.

2. RESPONSIBILITY

2.1 The Director of Quality Assurance is responsible for implementing this procedure.

2.2 Personnel performing surveillance activities are responsible for conducting those activities in accordance with this procedure.

3. PROCEDURE

3.1 Introduction

Surveillance is conducted to determine whether an activity is being performed in accordance with specified requirements. Surveillance typically involves direct observation of activities and is an effective quality verification method for software development, experiments, tests, and similar activities. Surveillance supplements the internal audit program through real time observation and verification that is more frequent than audits and can be performed on short notice. It facilitates (i) identifying and correcting problems and (ii) identifying and reinforcing good practices in a timely manner, while the work is in process.

3.2 Planning and Scheduling Surveillance

3.2.1 A surveillance schedule shall be developed annually by the Director of Quality Assurance to ensure activities are periodically evaluated. Surveillance may be scheduled according to the organizations conducting activities or according to the activities conducted.

3.2.2 Unscheduled surveillance may be performed as determined necessary by the Director of Quality Assurance. Any member of the Division management team may request that a surveillance be conducted.

3.2.3 The surveillance schedule shall be revised as necessary to reflect changes in planned activities and to incorporate new tasks.

3.2.4 Surveillance schedules and revisions shall be posted on the Quality Assurance webpage <http://tuti/qa>.

3.3 Conducting Surveillance

3.3.1 Personnel performing surveillance activities shall be trained in the use of this procedure and shall be independent of the activities being evaluated.

3.3.2 The surveillance scope should be consistent with Table 1 as appropriate to the work being performed. Surveillance should focus on activities being conducted at the time of the surveillance. Emphasis should be placed on verifying compliance with requirements most directly affecting performance and product quality.

3.3.3 Surveillance shall be based on applicable procedural or other requirements. Checklists based on applicable requirements should be used to assure thorough evaluations.

3.4 Documenting Surveillance

Surveillance activities shall be documented on Form QAP–8, Quality Assurance Surveillance Report. The form shall be completed as follows.

3.4.1 A surveillance number shall be obtained from the surveillance log maintained by Quality Assurance. The surveillance scope shall also be identified in the log.

3.4.2 The project number, surveillance report number, surveillance scope, reference documents, starting and ending date, identity of the person or persons performing the surveillance, and the persons contacted during the surveillance shall be identified.

3.4.3 Satisfactory findings are activities determined to be acceptable. The satisfactory findings may be directly related to specific procedural requirements or may be good practices. Satisfactory findings shall identify the verifications performed and should identify the records or activities observed to determine the finding as being satisfactory.

3.4.4 Unsatisfactory findings shall be fully described (i.e., the requirement not complied with and condition contrary to the requirement). In general, nonconformances identified during surveillance will be formally reported (i.e., QAP–009, Nonconformance Control or QAP–010, Corrective Action, as appropriate). Exceptions shall be justified. The identifying numbers of Nonconformance Reports or Corrective Action Requests shall be listed in the appropriate field of the surveillance report.

3.4.5 Attachments to form QAP–8 may be provided as objective evidence of surveillance findings.

3.4.6 Recommendations may be provided on the surveillance report, including areas to improve performance, improved methods of recording and storing data, and recommended changes to procedures.

4. RECORDS

Surveillance reports and surveillance report logs shall be maintained as quality assurance records in accordance with QAP–012, Quality Assurance Records Control.

Table 1

Activity Type	Surveillance Scope	Procedure Reference
General	Verify that a quality requirements application matrix has been completed for the activity.	QAP–013
	Verify that personnel performing activities are properly qualified.	QAP–007
	Verify that scientific notebooks are used when appropriate and entries are properly made.	QAP–001
	Verify that deliverables have required reviews performed and comments resolved. Verify editorial reviews.	QAP–002
Laboratory Activities	Verify that measuring and test equipment is calibrated and is appropriate for the intended use.	QAP–019
	Verify that samples are appropriately identified and controlled.	TOP–012
	Verify that chemicals are properly labeled, controlled, and stored.	TOP–012, AP–010
	Verify that TOPs applicable to specific activities are being implemented effectively.	As indicated in QRAM
Field Activities	Verify that measuring and test equipment is calibrated and is appropriate for the intended use.	QAP–019
	Verify that samples are appropriately identified and controlled.	TOP–012
	Verify that preparations have been made prior to departure to remote sites.	AP–013
	Verify that TOPs applicable to specific activities are being implemented effectively.	As indicated in QRAM
Modeling and Analysis	Verify that software development and use are properly controlled.	TOP–018
	Verify that calculations are documented and checks have been performed during document reviews when required.	QAP–014
Regulatory Analyses and Technical Support	Verify that APs and TOPs applicable to specific activities are being implemented effectively. Verify that current versions of regulations, statutes, licensee submittals, and the like are being used.	As indicated in QRAM

AP = Administrative Procedure
QAP = Quality Assurance Procedure
QRAM = Quality Requirements Application Matrix
TOP = Technical Operating Procedure