



**GEOSCIENCES AND ENGINEERING DIVISION
QUALITY ASSURANCE
SURVEILLANCE REPORT**

PROJECT NO.:
.06002.01.021

REPORT No.: 2005-22

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SURVEILLANCE SCOPE: Records Management and Control

REFERENCE DOCUMENTS: AP-019, Records Management and QAP-012, Quality Assurance Records Control

START DATE: 11/11/2005

END DATE 11/18/2005

QA REPRESENTATIVE:
Mark R. Ehnstrom

PERSONS CONDUCTING ACTIVITY: M. Padilla, L. Selvey, S. Garcia, and P Mackin

SATISFACTORY FINDINGS:

Surveillance was performed on the records management and control process described in AP-019, Records Management, Section 5, and QAP-012, Quality Assurance Records Control. This process was written for compliance to 10 CFR Part 2, Subpart J and is applicable to all CNWRA records.

Preliminary assembly and preparation of the documents for entry into the GED Electronic Library Facility (ELF) is being routinely performed. Document categories identified in AP-019, Table 1 are being received and processed. Unique document identifiers and file names are assigned. Appropriate records are being sent to the Nuclear Regulatory Commission as required.

UNSATISFACTORY FINDINGS: None

NCR NO.: N/A

CAR NO.: N/A

ATTACHMENTS: None

RECOMMENDATIONS/ACTIONS: The NRC has introduced a new form and process for submitting documents, titled, "Electronic Information Exchange." This additional step in the process for transmittal of documents to the NRC is not described in AP-019. It is recommended that the procedure be revised to include instructions concerning the additional step and use of the new form.

Currently, procurement documents, such as purchase requisitions, purchase orders, and procurement plans, are not being provided for QA records and placed into ELF. Until recently, QAP-016, Procurement, required that the financial clerk would maintain procurement records. (Note that legacy procurement documents for quality affecting purchases were submitted to the LSN.) It is recommended that clarification be provided to personnel responsible for supplying and entering procurement documents so that the documentation is entered into QA records and ELF. Procedures may need revision to describe different processing of quality affecting and non-quality affecting records and to define which procurement records are to be submitted to NRC for the LSN.

APPROVED:

DATE:

12/1/2005

DISTRIBUTION:

ORIGINAL—QA RECORDS

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