

GEOSCIENCES AND ENGINEERING DIVISION NONCONFORMANCE REPORT

Project No. 06002-01-031

NCR No.: 2007-03

PART 1: DESCRIPTION OF NONCONFORMANCE

QAP-012, *Quality Assurance Records Control*, requires (paraphrased) validated QA records to be stored in the Building 189 QA records storage room (with a minimum two-hour fire rating) or in a similar auxiliary location in Building 139. The procedure also states that original records may be checked out of the records room only until COB the same day.

Contrary to this requirement, validated scientific notebooks are routinely kept outside the records room for considerable periods to facilitate scanning by SwRI Media Services and subsequent review for possible copyright issues by GED administrative personnel and the Director, Administration. In addition, records ready to be transferred between the Building 189 records room and the Building 139 annex location are often stored in the GED library for periods exceeding one day while they await transport.

Initiated by: Mike Simpson

Date: 02/23/07

Action Required by: Mackin/Brient

Response Due Date: 03/09/07

PART 2: PROPOSED DISPOSITION AND CORRECTIVE ACTION

Disposition: Modify current practices to meet QAP-012 requirements, as follows: Step 1. When a scientific notebook is being processed for closure, delay the manager's signature on the Scientific Notebook Review Checklist Record (QAP-01) until the independent review of two other persons that is required by QAP-019 (Records Management), step 5.2.1.2.b has been completed. Step 2. Before sending a closed scientific notebook to SwRI Media Publications Services for scanning as part of the records processing required by AP-019, either (i) ensure that it will be returned before the end of the work day or (ii) ensure it will be locked in a fire proof safe by Media Publications Services after normal working hours if the scanning will require more than one day.

Basis of Disposition: Step 1 will effectively delay the point at which a scientific notebook moves from a records in process status to a controlled record until the additional reviews required by QAP-019 are completed. Although this may require several days, the scientific notebook will remain within GED-controlled space during that time, offering the record protection equivalent to that provided by the author - therefore, no added risk of loss of information will be incurred. Step 2 will ensure that storage protection requirements for controlled records as defined in QAP-12 are maintained.

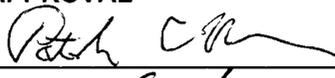
Action to Correct Nonconformance: 1. Add a step to the Scientific Notebook Review Checklist Record to ensure that the independent review required by AP-019 is completed before the notebook is closed out. 2. Add language to AP-019 to include the additional restrictions on providing scientific notebooks to Media Public Services for scanning.

Target date for completion: 04/20/2007

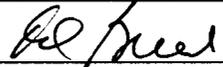
Proposed by: Patrick C. Mackin

Date: 03/07/2007

PART 3: APPROVAL

Manager: 

Date: 3/7 / 2006-2007 ^{on 3/7/07}

Director of QA: 

Date: 3/7/2007

Comments/Instructions:

PART 4: CLOSE OUT

Comments:

Procedure and form changed as stated.

Distribution:

Original-QA Records

ORIGINATOR

PRINCIPAL INVESTIGATOR

MANAGER

ASSISTANT DIRECTOR

Verified by:

M. [Signature]

Date: *4/2/07*