



**Southwest Research Institute®  
Surveillance Report**



| IDENTIFICATION   |                               |                                     |
|--|-------------------------------|-------------------------------------|
| <b>Submitted By:</b> Brient, Robert D.   | <b>Date:</b> 17-DEC-09        | <b>Report Number:</b> 2009-SR-0385  |
| <b>Division:</b> 20 – GEOSCIENCES & ENGINEERING<br>01.03: QA   |                               | <b>Project Number:</b> 14002.01.021 |
| <b>Quality Program:</b> GED (20) QAM   |                               |                                     |
| <b>Associated Report:</b> N/A  |                               |                                     |
| <b>Surveillance Scope:</b><br><br>Review source evaluation and selection (AP-001) and training and qualification (QAP-005 and 007) practices and requirements  |                               |                                     |
| <b>References:</b><br><br>AP-001, Source Selection and Evaluation; QAP-005, Quality Indoctrination and Training; and QAP-007, Professional Personnel Qualification   |                               |                                     |
| <b>Starting Date:</b> 10-DEC-09  | <b>Ending Date:</b> 17-DEC-09 |                                     |
| <b>Person(s) Conducting Test/Exam/Procedure:</b> M. Padilla  |                               |                                     |
| <b>Satisfactory Findings:</b><br><br>1. Quality assurance indoctrination of new personnel: new hires, including student employees, receive indoctrination within a few weeks of starting work. The time limit to conduct indoctrination (QAP-005) was revised to one month after a nonconformance finding from the May 2009 audit identified one instance when the previous time limit of 2 weeks was exceeded. Experience has shown that new employees do not generally perform quality affecting work until several months after starting work. Indoctrination of GED staff is conducted face-to-face, while indoctrination of most SwRI staff, consultants, and subcontractors is usually accomplished by required reading.<br>2. Training: training assignments are made when new staff are brought on. Assignments are reviewed for SwRI staff, consultants, and subcontractors annually during their required AP-001 re-evaluations. GED assignments are reviewed when new procedures are issued and when job assignments significantly change.<br>3. Performance evaluations: GED staff are evaluated annually according to SwRI requirements. For SwRI staff, consultants, and subcontractors, AP-001 is currently being revised to include performance evaluations coinciding with the required AP-001 annual re-evaluations.<br>4. AP-001 evaluations: Currently active personnel include:<br>GED staff (includes student and temporary agency employees) – 96 (16 of which are classified 6A)<br>SwRI staff – 37 (10 of which are classified 6A)<br>Consultants/subcontractors – 32 individuals (5 of which are classified 6A)<br>AP-001 evaluations were not performed before project start in several cases although quality planning (i.e., QRAMs) have been accurate at identifying the non-GED staff expected to work on projects. An NCR was issued in an instance where the non-GED individuals had performed work, otherwise AP-001 actions were completed before quality affecting work took place.<br>Uncompensated co-contributors to abstracts and journal articles continue to be an occasional problem, particularly when work is submitted by the co-contributor without prior notice to GED. However, these are so infrequent and specific action is unlikely to be effective in controlling these cases. The potential for adverse consequences is very low. |                               |                                     |
| <b>Unsatisfactory Findings:</b><br><br>None  |                               |                                     |
| <b>Recommendations/Actions:</b><br><br>None  |                               |                                     |
| <b>Equipment Calibration:</b><br><br>Not applicable  |                               |                                     |
| <b>SwRI cc:</b> Axler, Keith M (20), Chowdhury, Asadul H. (20), Dubreuilh, Philippe H (20), Ferrill, David A. (20), Lenhard, Robert J (20), Mackin, Patrick C. (20), Mohanty, Sitakanta (20), Neill, Lora R (20), Padilla, Maria J. (20), Patrick, Wesley C. (20), Percy, English C. (20), Sagar, Budhi (20), Stamatakos, John A. (20), Walter, Gary R (20), Winterle, James R. (20), Wittmeyer, Gordon W. (20)  |                               |                                     |

**APPROVALS**

**Management Approval:** Brient, Robert D.

**Date:** 17-DEC-09

**QA Approval:** Brient, Robert D.

**Date:** 17-DEC-09

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