



**Southwest Research Institute®
Surveillance Report**



IDENTIFICATION		
Submitted By: Brient, Robert D.	Date: 22-FEB-10	Report Number: 2010-SR-0044
Division: 20 - GEOSCIENCES & ENGINEERING 01.03: QA		Project Number: 14002.01.021
Quality Program: GED (20) QAM		
Associated Report: N/A		
Surveillance Scope: Review of Document and Records Control Activities		
References: QAP-012, QA Records Control and QAP-008, Document Control		
Starting Date: 08-FEB-10	Ending Date: 22-FEB-10	
Person(s) Conducting Test/Exam/Procedure: Maria Padilla		
Satisfactory Findings: <p>Document Control</p> <p>Controlled documents are distributed to staff and consultants according to document assignments logged in the Training Tracking system software. Document assignments are made when staff are initially employed and annually reviewed (during operations planning for GED staff and at annual AP-001 renewals for external staff).</p> <p>QA Records Control</p> <p>QA records are processed into ELF according to AP-019, Records Processing. According to QAP-012, all QA records are stored in fire-rated facilities, however, GED is faced with storage capacity limitations. Regulatory guidance allows for duplicate records storage as well as single, fire-rated storage so long as the duplicate records would not be simultaneously exposed to hazards. Although GED is not currently taking credit for it, ELF provides compliant duplicate storage because files are backed up and maintained in remote facilities. In addition, all scanned ELF files are copied to CDs and stored in the fire-rated vault. Nuclear program audits of other SwRI divisions by external clients have accepted electronic records storage.</p> <p>A revision to QAP-012 is being prepared that allows duplicate storage, which will eliminate the pressure on fire-rated records storage. Paper records can then be stored in regular office or laboratory with general protection from weather and hazards, while the electronic duplicate (ELF) affords redundant protection: computer server with tape backup and CDs in fire rated storage.</p> <p>Duplicate storage of records implementation involves only revising QAP-012 and moving paper records from fire-rated storage to regular storage spaces. The records database will be updated with new storage location information.</p> <p>One of a kind records (because of size or media) that cannot be captured electronically will necessarily be stored in fire-rated facilities. Hard-copy scientific notebooks will also be stored in fire-rated facilities even though these are scanned and maintained in ELF.</p> <p>One of a kind photographic records are being maintained in Building 51. Fire-rated cabinets have been purchased for storage and records are being compiled for processing in accordance with QAP-012.</p>		
Unsatisfactory Findings: none		
Recommendations/Actions: none		
Equipment Calibration: not applicable		

SwRI cc: Mackin, Patrick C. (20), Padilla, Maria J. (20), Patrick, Wesley C. (20), Sagar, Buchi (20)

APPROVALS

Management Approval: Brient, Robert D.

Date: 22-FEB-10

QA Approval: Brient, Robert D.

Date: 22-FEB-10

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