

## QUALITY ASSURANCE RECORDS

### 1.0 Objective

The objective of this surveillance is to evaluate the effectiveness of the laboratory's implementation of the program to identify, collect and maintain quality assurance records. The surveillance encompasses records associated with design, maintenance, and operations. In addition to evaluating the effectiveness of the laboratory's implementation, the Facility Representative or Environmental, Safety, and Health Support Specialist also evaluates compliance with applicable DOE requirements.

### 2.0 References

- 2.1 DOE O 200.1, *Information Management Program*
- 2.2 DOE 5700.6C, *Quality Assurance*
- 2.3 10 CFR Part 50, Appendix B, *Quality Assurance Criteria for Nuclear Power Plants and Fuel Reprocessing Plants*
- 2.4 10 CFR Part 830.120, *Quality Assurance Requirements for DOE Nuclear Facilities*
- 2.5 10 CFR Part 835, Subpart H, Section 701, *Records*
- 2.6 NQA-1-1989, *Quality Assurance Program Requirements for Nuclear Facilities*

### 3.0 Surveillance Activities

Other surveillances in the Facility Representative Program address issues relating to control and distribution of documents such as procedures, drawings, and operator aids.

The focus of this surveillance is on ensuring that quality-related records are transmitted to and maintained by a records center. During this surveillance, the Facility Representative or Environmental, Safety, and Health Support Specialist performs the following activities:

1. Verify that selected quality records from the facility are retrievable from the Quality Assurance Record Center.
2. Examine record center storage facilities and verify that they provide safe storage for quality records.

**Surveillance Guideline**  
**QUALITY ASSURANCE RECORDS**

Surveillance No.: \_\_\_\_\_

Facility: \_\_\_\_\_

Date Completed: \_\_\_\_\_

YES    NO    N/A

**Activity One - Evaluate retrievability of Quality Assurance Records**

The Facility Representative or Environmental, Safety, and Health Support Specialist selects a sample of documents to evaluate storage and retrieval of quality assurance records. The sample shall include a design drawing, an operating procedure, and data sheets from at least one surveillance test conducted to fulfill the requirements of a technical safety requirement. The Facility Representative shall note the current revision of the document and all revisions to the document for the past 24 months, including engineering change notices and procedure changes.

- |   |       |       |       |
|---|-------|-------|-------|
| 1. Does the Quality Assurance Record Center contain the selected documents?   | _____ | _____ | _____ |
| 2. Does the Quality Assurance Record Center contain copies of all previous revisions of the documents, including copies of applicable change notices? | _____ | _____ | _____ |
| 3. Are previous revisions of documents marked to indicate that they are superseded?   | _____ | _____ | _____ |
| 4. Are copies of documents from the Records Center legible and complete?  | _____ | _____ | _____ |

**Activity Two - Examine Record Center Storage Facility**

**NOTE**

If the facility does not have its own Records Center, the Facility Representative or Environmental, Safety, and Health Support Specialist need not complete this activity.



**Surveillance Guideline**  
**QUALITY ASSURANCE RECORDS (cont.)**

NOTES/COMMENTS:

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PERSONNEL CONTACTED: \_\_\_\_\_

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**IF MORE SPACE IS NEEDED FOR FINDINGS, OBSERVATIONS, AND FOLLOWUP  
ITEMS - USE ADDITIONAL SHEETS**

FINDINGS:

Finding No.: \_\_\_\_\_

Description: \_\_\_\_\_

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**Surveillance Guideline**  
**QUALITY ASSURANCE RECORDS (cont.)**

Finding No.: \_\_\_\_\_

Description: \_\_\_\_\_

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\_\_\_\_\_

Finding No.: \_\_\_\_\_

Description: \_\_\_\_\_

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\_\_\_\_\_  
\_\_\_\_\_

**OBSERVATIONS:**

Observation No.: \_\_\_\_\_

Description: \_\_\_\_\_

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\_\_\_\_\_  
\_\_\_\_\_

**Surveillance Guideline**  
**QUALITY ASSURANCE RECORDS (cont.)**

Observation No.: \_\_\_\_\_

Description: \_\_\_\_\_

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Observation No.: \_\_\_\_\_

Description: \_\_\_\_\_

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**FOLLOWUP ITEMS:**

Followup Item No.: \_\_\_\_\_

Description: \_\_\_\_\_

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**Surveillance Guideline**  
**QUALITY ASSURANCE RECORDS (cont.)**

Followup Item No.: \_\_\_\_\_

Description: \_\_\_\_\_

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Followup Item No.: \_\_\_\_\_

Description: \_\_\_\_\_

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LABORATORY MANAGEMENT DEBRIEFED AND RESULTS: \_\_\_\_\_

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Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Facility Representative or  
Environmental, Safety, and Health Support Specialist