

**U. S. Department of Energy  
Carlsbad Field Office****MANAGEMENT PROCEDURE****CBFO MP 10.2, Rev. 4**

Effective: May 29, 2007

Expires: May 29, 2009

**SUBJECT: SURVEILLANCES**

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Manager, Carlsbad Field Office: //signature on file//

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**1.0 PURPOSE**

The purpose of this procedure is to define the process, responsibilities, and controls that Carlsbad Field Office (CBFO) and support contractor personnel shall observe when planning and conducting surveillances.

**2.0 SCOPE**

This procedure specifies the methods for scheduling, performing, reporting, and closing CBFO surveillances of activities performed in accordance with the CBFO Quality Assurance Program Document (QAPD). This procedure supersedes Management Procedure (MP) 10.2, Revision 3, *Surveillances*.

**3.0 REFERENCES AND DEFINITIONS****3.1 References**

- DOE CBFO *Quality Assurance Program Document (QAPD)*, DOE-CBFO-94-1012
- CBFO MP 3.1, *Corrective Action*
- CBFO MP 4.9, *Quality Assurance Records*
- CBFO MP 10.3, *Audits*

**3.2 Definitions**

- 3.2.1 Responsible Office Director - The CBFO Office Director whose area of responsibility encompasses the activity being assessed.
- 3.2.2 Condition Adverse to Quality (CAQ) - An all-inclusive term used in reference to any of the following: failures, malfunctions, deficiencies, defective items, nonconformances, and technical inadequacies.
- 3.2.3 Corrective Action - Measures taken to rectify conditions adverse to quality and, where necessary, to preclude recurrence.

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**AVAILABLE ONLINE AT:**<http://bellview/cbfo/Procedures/ProcedureManualTOC.htm>

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**INITIATED BY:**

CBFO Quality Assurance Manager

- 3.2.4 Corrective Action Report (CAR) - A document used to identify and rectify CAQs and track the associated corrective actions. CARs address CAQs that are primarily programmatic in nature, as opposed to nonconformance reports (NCRs), which address CAQs relating to specific items such as hardware or data. Categories of CARs include corrective action requests, nonconformance corrective action reports (NCARs), management corrective action reports (MCARs), deficiency reports (DRs), process deficiency reports (PDRs), audit findings, and condition adverse to quality reports (CAQR).
- 3.2.5 Observation - Documentation of marginally acceptable conditions that, if not controlled, might later escalate into a deficiency. Observations are not deficiencies and do not require a response.
- 3.2.6 Recommendations - Suggestions that are directed toward identifying opportunities for improving and enhancing methods for implementing requirements.
- 3.2.7 Surveillance - The act of monitoring or observing to verify whether an item, activity, system, or process conforms to specified requirements. Surveillance of a work activity is normally done in real time, i.e., the surveillance is accomplished as the work is being performed.
- 3.2.8 Surveillance Team Leader (STL) - The person designated to plan, lead, and report the conduct of a surveillance.
- 3.2.9 Technical Specialist - An individual assigned to an assessment team when the scope, complexity, or special nature of the work to be examined warrants assessment of the technical adequacy of the work or the effectiveness of the technical process.

#### **4.0 RESPONSIBILITIES**

- 4.1 Manager, Carlsbad Field Office (CBFO)
  - Approve the CBFO assessment schedule, including scheduled surveillances.
- 4.2 Assistant Manager for Operations
  - Provide input to the Office Directors within their organization on proposed surveillance.
- 4.3 Office Directors
  - 4.3.1 Identify activities under their direction for surveillance.
  - 4.3.2 Coordinate surveillance schedules with the Quality Assurance Manager (QAM).
  - 4.3.3 Assist the QAM in selecting the surveillance team leader (STL).
  - 4.3.4 Assist the STL in selecting surveillance team members.
  - 4.3.5 Review the surveillance report.
  - 4.3.6 Obtain CBFO QAM approval of surveillance reports prior to issuance.
  - 4.3.7 Assure that CARs are initiated when results of surveillance identify CAQs.

4.4 Quality Assurance Manager or Designee

4.4.1 Coordinate with CBFO Office Directors to include surveillances in the CBFO assessment schedule.

4.4.2 Assess the effectiveness of surveillance activities conducted by CBFO organizations.

4.4.3 Select the surveillance team leader.

4.4.4 Review and approve CARs in accordance with MP 3.1.

4.4.5 Approve surveillance reports.

4.5 Surveillance Team Leader

4.5.1 Identify personnel requirements for the surveillance, select and assemble the team members, request quality assurance and technical specialist support as necessary, and coordinate concurrence of the team selection with the responsible Office Director.

4.5.2 Ensure the surveillance team members are qualified and suitably trained to perform the surveillance.

4.5.3 Obtain a surveillance number from the CBFO Office of Quality Assurance.

4.5.4 Designate the methods to be used to obtain and document objective evidence during the surveillance.

4.5.5 Conduct the surveillance.

4.5.6 Coordinate the resolution of emergent issues and provide guidance to the surveillance team as necessary during the surveillance.

4.5.7 Prepare the surveillance report in accordance with this procedure and prepare any corrective action reports in accordance with MP 3.1.

4.5.8 Assure that QA records generated as a result of the surveillance are submitted in accordance with MP 4.9.

4.6 Surveillance Team

4.6.1 Prepare the surveillance checklists as directed, or implement the method selected by the surveillance team leader to guide the surveillance and document results.

4.6.2 Conduct the surveillance as directed by the surveillance team leader.

4.6.3 Provide the surveillance team leader with the results of the surveillance, including any CAQs, completed checklists if used, or other method of documentation selected by the surveillance team leader.

4.6.4 Assist the surveillance team leader with the preparation of the surveillance report and any required CARs, as requested.

## 5.0 PROCEDURE

### 5.1 Planning/Scheduling

- 5.1.1 Surveillances are conducted to evaluate the quality of work subject to the CBFO QAPD and other requirements. CBFO Office Directors determine the need for surveillances by considering the following:
  - A. The need to verify quality or technical adequacy of work in progress and, when necessary, identify CAQs.
  - B. The need to verify timely implementation of corrective action.
- 5.1.2 Office Directors should evaluate their areas of responsibility periodically and provide input to the QAM for inclusion in the CBFO assessment schedule.
- 5.1.3 Office Directors may provide input to the selection of the STLs and recommend team members who possess the necessary experience and technical expertise required by the scope and complexity of the surveillance.

### 5.2 Preparation

- 5.2.1 The STL shall review the training and experience of prospective surveillance team members to verify that they are qualified to participate in the surveillance. The STL will also review the surveillance logistics with the team.
- 5.2.2 The responsible Office Director should notify the organization to be surveilled, either verbally or in writing.
- 5.2.3 The surveillance team should develop a checklist for the activity to be surveilled (see attachment I), or use any other method selected by the STL to guide the surveillance and document the results (e.g., the use of a procedure annotated with steps evaluated, the identification of the objective evidence that was reviewed, and the results).

### 5.3 Performance

- 5.3.1 The STL may conduct a pre-surveillance meeting to reinforce the purpose and scope of the surveillance, to introduce the surveillance team, and to establish interfaces and contacts with the organization being assessed.
- 5.3.2 The surveillance team shall:
  - A. Observe the activity in progress and review documentation to determine if the item, activity, system, or process conforms to specified requirements.
  - B. Record the names of personnel interviewed, activities observed, documentation reviewed, and results on the checklist (or other document, if a checklist is not used). CAQs (including those corrected during the surveillance), observations, recommendations, and exemplary practices shall also be recorded.
  - C. Document and process CAQs in accordance with MP 3.1.
  - D. Obtain concurrence from the CBFO QAM on the results of the surveillance.
- 5.3.3 The STL should conduct a post-surveillance meeting to present results to the appropriate management of the surveilled organization.

#### 5.4 Reporting

- 5.4.1 The surveillance team and/or STL shall document and process CAQs in accordance with MP 3.1. The surveillance team shall provide documentation of surveillance activities to the STL.
- 5.4.2 The STL shall prepare a surveillance report (see attachment II).
- 5.4.3 The surveillance report shall be signed by the STL and forwarded to the responsible Office Director for concurrence, then forwarded to the QAM or designee for review and approval prior to issuance.

**NOTE: For surveillances performed by the Office of Quality Assurance, the Assistant Manager/Office Director signature line on attachment II is marked "NA."**

- 5.4.4 Copies of the approved surveillance report shall be distributed to the following:
  - A. The organization surveilled
  - B. The responsible Assistant Manager
  - C. The QAM
  - D. The STL

#### 5.5 Closure

- 5.5.1 The surveillance is considered closed upon issuance of the surveillance report.
- 5.5.2 QA records generated as a result of the surveillance shall be submitted in accordance with MP 4.9.

### 6.0 **RECORDS**

Surveillance reports shall be processed and maintained as QA records in accordance with MP 4.9.

### 7.0 **ATTACHMENTS**

- Attachment I. Example of a Surveillance Checklist
- Attachment II. Surveillance Report (Example)
- Attachment III. Surveillance Process Flow Chart

**EXAMPLE OF A SURVEILLANCE CHECKLIST**

**CBFO SURVEILLANCE CHECKLIST**

Organization Evaluated: \_\_\_\_\_ Surveillance Number: \_\_\_\_\_

Activities Evaluated: \_\_\_\_\_ Date of Surveillance: \_\_\_\_

Controlling Documents: \_\_\_\_\_

Item No.	Characteristic(s)	Objective Evidence	*Results

\* Indicate Results: Satisfactory (SAT), Unsatisfactory (UNSAT), Not Applicable (NA), Indeterminate (I)

**Example of a  
CBFO SURVEILLANCE REPORT**

**Surveillance Number:** \_\_\_\_\_ **Date of Surveillance:** \_\_\_\_\_

**Surveillance Title:** \_\_\_\_\_

**Organization(s)  
Surveilled:** \_\_\_\_\_

**Surveillance Team:**

Team Leader:

Team Members:

**Surveillance Scope:**

**Surveillance Results:**

Activities Evaluated:

Corrective Actions:

**Surveillance Team Leader Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Assistant Manager/Office Director:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**CBFO QA Manager Approval Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**SURVEILLANCE PROCESS FLOW CHART**

