To: Distribution

Subject: CBFO Semi-Annual CAR Trend Analysis Report for January 1 through June 30, 2014

The Carlsbad Field Office (CBFO) Corrective Action Report (CAR) Trend Analysis Report has been completed for the reporting period of January 1 through June 30, 2014. Deficiencies included in the enclosed report (Attachment 1) were identified under CBFO Management Procedure (MP) 3.2, Revision 1, Deficiency Trending and Reporting.

The report summarizes trend information for CARs and items corrected during oversight activities, usually either an audit or surveillance. Items contained in the report were issued during the reporting period, closed during the reporting period, or both issued and closed during the reporting period. The report includes data for waste generator sites and for core participants such as the CBFO, the Waste Isolation Pilot Plant (WIPP) management and operating contractor, the Central Characterization Program, and local laboratories.

All deficiencies identified during the reporting period have been assigned trend codes in accordance with CBFO MP 3.2. The trend codes (defined in Attachment 2) allow identification of issues under two categories: Activity and Deficiency. The Activity category identifies functional areas such as waste characterization, and project activities such as Acceptable Knowledge (AK), Data Validation (DV), definition of Work Processes (WP), and Software (SW). The Deficiency category addresses areas within an activity such as training (03), performance of work (05), and documentation of work (06).

The report is color-coded using red to define a negative trend or event, yellow to define an area of concern or risk, and green to define a positive trend or event.

Significant points of interest regarding trends, events, and issues from the attached charts are provided in the following table.

| Count of CARs Closed Past Their Due Date Trend Chart | A slight increase in the number of CARs closed past their due date is noted and is attributed to personnel being displaced from or unable to access their normal work areas due to events at the WIPP site, and having their activities focused on recovery efforts. |
| Count of Repeat of Activity Codes – Pareto Chart showing counts of activity codes | Two trend codes are selected for comment in this report. These two codes are reported significantly more times that others during the report period. The two Activity Category Trend Codes are Records Management (RM) and Work Processes (WP). They comprise 21% and 15% respectively of the total number of reported codes. Trend codes RM and WP were the trend codes with the highest percentage of occurrence, 29% and 20%, during the previous 6-month trend reporting period. Further efforts by the management review team might be in order to reinforce previously identified methods to reduce the numbers of CARs identified in these codes or to propose new actions and/or activities to generate improvement. |
Two CARs are selected for comment in this report. These two CARs have been open for the longest time as of this trend reporting period.

CAR 13-041 appeared on the last 6-month summary report and has been open for 337 days. This CAR is a significant condition adverse to quality (SCAQ) issued by the Office of Site Operations to address procedure inadequacy. A revision to NWP procedure WP 04-CO.01-6 Conduct of Operations Program – Investigation of Abnormal Events, Conditions and Trends is required as part of the description of deficiency stated in the CAR to bring the procedure in line with requirements of DOE O 422.1 Conduct of Operations and WP 04-CO.01 Conduct of Operations. The corrective action plan states an expected date of completion of August 29, 2014. The corrective action plan is awaiting approval by CBFO.

CAR 13-046 also appeared on the last 6-month summary report and has been open for 283 days. This CAR is a SCAQ issued by the Office of Site Operations to address procedure inadequacy. Revision to design sections of NWP document SDD H00 Heating, Ventilation and Air Conditioning System, System Design Description (SDD) are required as part of the description of deficiency stated in the CAR to bring the procedure in line with requirements of WP 09-10 WIPP Preparation Guide for System Design Description Documents, DOE-STD-3024-98 Content of System Design Descriptions, or DOE-STD-3024-2011 Content of System Design Descriptions. A revised corrective action plan has been received and is awaiting review and approval by CBFO.

A Pareto chart is a bar graph wherein the lengths of the bars represent frequency of occurrence of a specific subject item. The bars are arranged with longest to the left and the shortest to the right to visually depict which situations are more significant.

Of note, the blank spaces under the Closed Column of the CARs/CDA Table represent currently open CARs. This data reflects the status of CARs as of the report cut-off date of June 30, 2014. Between that date and the date of this trend report, the following CARs have been closed.

<table>
<thead>
<tr>
<th>CAR Number</th>
<th>Date Closed</th>
</tr>
</thead>
<tbody>
<tr>
<td>14-025</td>
<td>08/07/2014</td>
</tr>
<tr>
<td>14-033</td>
<td>08/14/2014</td>
</tr>
<tr>
<td>14-044</td>
<td>08/26/2014</td>
</tr>
<tr>
<td>14-046</td>
<td>08/20/2014</td>
</tr>
<tr>
<td>14-048</td>
<td>09/05/2014</td>
</tr>
<tr>
<td>14-049</td>
<td>09/05/2014</td>
</tr>
<tr>
<td>14-050</td>
<td>09/05/2014</td>
</tr>
</tbody>
</table>

Managers are requested to review the trends on the attached chart with appropriate personnel within their organizations to identify any applicable lessons learned. If you have any questions, please contact the CBFO Quality Assurance Division.

Sincerely,

Michael R. Brown, Director
Quality Assurance Division

CBFO:QAD:MRB:RMS:14-1329:UFC 2300.00
cc: w/attachment
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G. Basabilvazo, CBFO  ED
B. Mackie, CBFO  ED
D. Miehls, CBFO  ED
M. Navarrete, CBFO  ED
B. Roberts, DOE-ID  ED
D. Haar, AMWTP  ED
G. Byram, AMWTP  ED
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CBFO QA File
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*ED denotes electronic distribution
### 6-Month Trend Report for January through June of 2014

#### CARs/CDA that are Open and/or Closed between January and June of 2014

<table>
<thead>
<tr>
<th>Activity</th>
<th>Attention Level</th>
<th>Title</th>
<th>Responsible Organization</th>
<th>Open</th>
<th>Closed</th>
<th>Close Date</th>
<th>Issue Date</th>
<th>Code</th>
<th>Activity Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>11-106</td>
<td>S</td>
<td>On-time Access Management</td>
<td>CIL</td>
<td>PA</td>
<td>PA</td>
<td>5/30/2014</td>
<td>5/30/2014</td>
<td>0</td>
<td>EL</td>
</tr>
<tr>
<td>11-106</td>
<td>L</td>
<td>On-time Access Management</td>
<td>CIL</td>
<td>PA</td>
<td>PA</td>
<td>5/30/2014</td>
<td>5/30/2014</td>
<td>0</td>
<td>EL</td>
</tr>
<tr>
<td>11-106</td>
<td>C</td>
<td>On-time Access Management</td>
<td>CIL</td>
<td>PA</td>
<td>PA</td>
<td>5/30/2014</td>
<td>5/30/2014</td>
<td>0</td>
<td>EL</td>
</tr>
</tbody>
</table>

**Code Legend:**
- **L:** Notified
- **C:** Closed
- **EL:** EL is doing the follow-up
- **PA:** PA is doing the follow-up
- **PA:** PA is the point of contact
- **PA:** PA is the responsible party
- **PA:** PA is the owner of the process

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**Graph:**

- **Color Key:**
  - **Red:** Open CARs/CDA
  - **Green:** Closed CARs/CDA
  - **Yellow:** Pending CARs/CDA

**Prepared By:**

**Approved By:**

**Document Date:** 9/16/14

**Time Stamp:** 9/30/14
6-Month Trend Report for January through June of 2014

Average Number of Visits/CAVs per Month (Per Month Over 36 Months)

![](chart1)

Count of CAVs (Month Over Their Due Date) (Per Month Over 36 Months)

![](chart2)

Repeated Activity Codes

![](chart3)

Count of OPEN Post Due CAVs (Per Month Over 36 Months)

![](chart4)