



ENTERED
Department of Energy
 Carlsbad Field Office
 P. O. Box 3090
 Carlsbad, New Mexico 88221
FEB 16 2017



To: Distribution

Subject: CBFO Semi-Annual CAR Trend Analysis Report for July 1 through December 31, 2016

The Carlsbad Field Office (CBFO) Corrective Action Report (CAR) Trend Analysis Report has been completed for the reporting period July 1 through December 31, 2016. Deficiencies identified during assessment activities conducted by CBFO of core participants subject to the CBFO *Quality Assurance Program Document* have been assigned trend codes and are presented for analysis in accordance with CBFO Management Procedure (MP) 3.2, Revision 1, *Deficiency Trending and Reporting*, including Interim Change Notices 1 through 3.

The trend report is presented in a format that provides statistics and summarizes trend information. The first chart presents the average number of days to closure for CARs closed within the second six-month reporting period for 2016, and compares the new average to the averages of the previous three six-month periods.

Bar charts showing trend codes are provided, including data from both CARs and deficient conditions that were corrected during an assessment (CDA). The trend codes 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). A trend code key is included in this report.

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

Number of CARs Closed During the Reporting Period	<p>Six fewer CARs were closed during this reporting period than in the previous reporting period. Corrective action plans for the 40 CARs that remained open at the end of 2016 indicate an average expected completion time of 175 days. The average expected time to complete CARs from the previous trend report was 196 days. The closure of CARs in a trend reporting period is impacted by the planned closure time frame.</p> <p>Twelve of the CARs closed during this reporting period had been open longer than 170 days. This compares to 13 CARs closed during the previous reporting period that had been open longer than 170 days.</p>				
Number of Assessments Performed and Number of CARs Generated		Previous Report Period		This Report Period	
		Assessments Performed	CARs Generated	Assessments Performed	CARs Generated
	Audits	11	18	18	9
	Surveillances	17	9	22	23
	Total	28	27	40	32



Average Number of Days to CAR Closure	The average time to close CARs during this reporting period decreased by 94 days compared to the previous period.			
Comparison of Activity Trend codes with the last 6-month period	Activity Code	Jan-Jun 2016	This Period	Difference
	CD	2	0	-2
	DC	1	3	+2
	MT	2	0	-2
	PS	0	5	+5
	RM	2	6	+4
	TQ	5	3	-2
	WP	6	4	-2
<p>CD – Characterization Data DC – Document Control MT – Control of Measuring and Test Equipment (M&TE) PS – Procurement RM – Records Management TQ – Training and Qualifications WP – Work Processes</p> <p>NOTE: The increase in the number of CARs issued during the reporting periods (32 CARs issued this reporting period and 27 CARs issued last reporting period) accounts for the changes in the numbers of codes assigned. The assignment of codes to CARs generated during this reporting period that had not been used for assignment in the previous period is also a factor. The Activity codes above are the items with the highest number of codes identified during the 6-month reporting period of June through December 2016.</p>				
Comparison of Deficiency Trend codes with the last 6-month period	Deficiency Code	Jan-Jun 2016	This Period	Difference
	01	3	5	+2
	04	4	8	+4
	05	16	11	-5
	06	7	9	+2
<p>01 – Definition of Work Process and Proceduralization 04 – Untrained Personnel 05 – Performance of Work 06 – Documentation of Work</p> <p>NOTE: The increase in the number of CARs issued accounts for the changes in the numbers of codes assigned. The Deficiency codes above are the items with the highest number of codes identified during the 6-month reporting period of July through December 2016.</p>				

Managers are requested to review the trends on the attached chart with appropriate personnel within their organizations.

If you have any questions regarding this trend report, please contact me at (575) 234-7476.

Sincerely,



Michael R. Brown, Director
Office of Quality Assurance

Enclosure

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Carlsbad Field Office Corrective Action 6-Month Trend Report

Report Period:
7/1/2016 to 12/31/2016

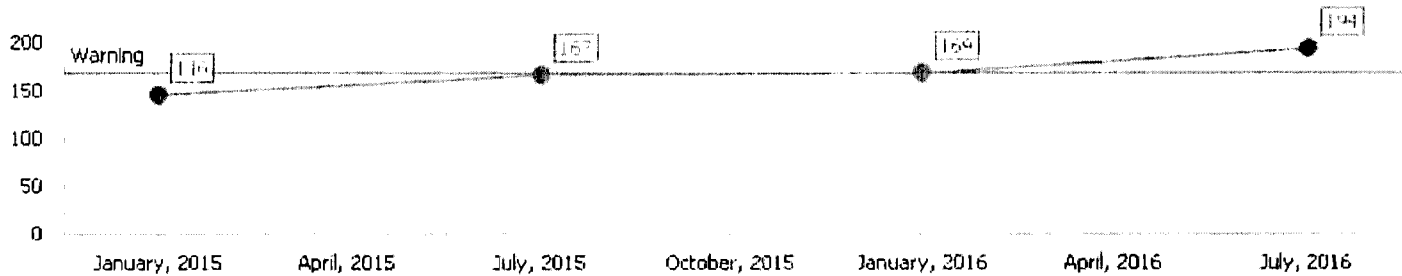
Prepared By: Jan R. Schultz 2/18/17

Approved By: Michael R. B. 2/16/17
CBFO QA DIRECTOR

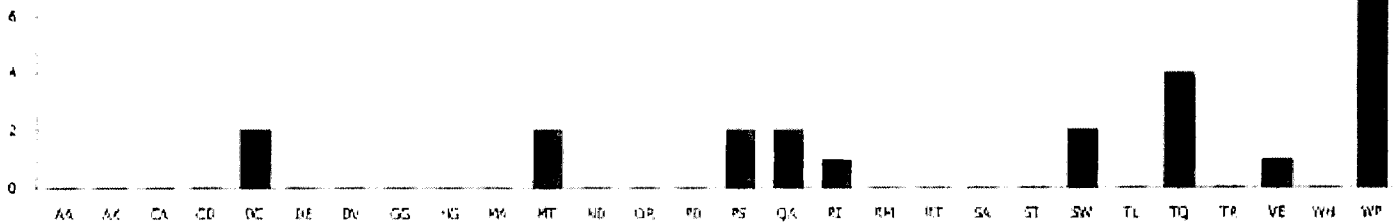
Descriptive Statistics for those CARs Closed During the Report Period (Current 6-Month Period)

Number of CARs Closed: 23	Average Days to Closure: 194
Maximum Days to Closure: 577	Minimum Days to Closure: 37

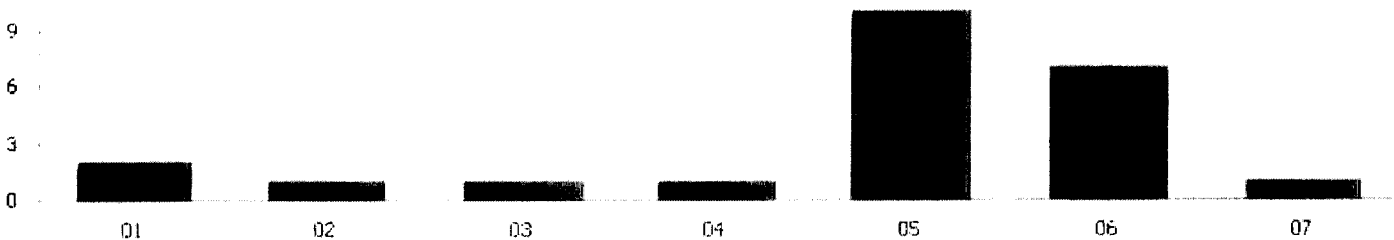
Average Number of Days to CAR Closure (Over Four 6-Month Periods)



Activity Trend Codes (Current 6-Month Period)



Deficiency Trend Codes (Current 6-Month Period)



Assumptions:

Days to Closure: Number of days between date of CAR notification letter to date CBFO Quality Assurance Director signs CAR with closure.
 6-month Periods: Only CARs that are actually CLOSED are considered in a given 6-month period.
 The final value shown in the Average Number of Days to CAR Closure chart is the average of the four 6-month periods.
 Activity and Deficiency Trend Code charts cover CARs that were either opened or closed during the current 6-month period.

Carlsbad Field Office Corrective Action 6-Month Trend Report

Trend Code Description

Code	Activity Description	Code	Activity Description
AK	Acceptable Knowledge	01	Definition of Work Process and Proceduralization
AA	Audits and Assessments	02	Identification of Work Steps
CA	Corrective Action Program (CARs and NCRs)	03	Training Materials and/or Training Presentations
CD	Characterization Data	04	Untrained Personnel
DC	Document Control	05	Performance of Work
DE	Design Control and Engineering	06	Documentation of Work
DV	Data Validation	07	Records Processing
GG	Gas Generation Testing (GGT)		
HG	Headspace Gas Sampling and Analysis (HGAS)		
MA	Management		
MT	Control of Measuring and Test Equipment (M&TE)		
ND	Non-Destructive Assay (NDA)		
OR	Organization and Resources		
PD	Performance Demonstration Program (PDP)		
PS	Procurement		
QA	QA Program and Implementation		
RI	Receiving/Receipt Inspection		
RM	Records Management		
RT	Real-Time Radiography (RTR)		
SA	Safety/Operations		
ST	Sampling Techniques		
SW	Software		
TL	TRUPACT-II Leak Testing		
TQ	Training and Qualifications		
TR	Transportation		
VE	Visual Examination (VE)		
WH	Waste Handling Operations		
WP	Work Processes		