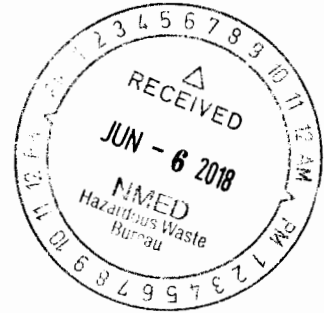


ENTERED



Department of Energy
 Carlsbad Field Office
 P. O. Box 3090
 Carlsbad, New Mexico 88221
JUN 06 2018



To: Distribution

Subject: CBFO Semi-Annual CAR Trend Analysis Report for July 1 through December 31, 2017

The Carlsbad Field Office (CBFO) Corrective Action Report (CAR) Trend Analysis Report was completed for the reporting period July 1st through December 31, 2017. Deficiencies identified during assessment activities conducted by the 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 Office Procedure (OP) 3.2, Revision 0, *Deficiency Trending and Reporting*.

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 6-month reporting period for 2017, and compares the new average to the averages of the previous three 6-month reporting periods.

Bar charts showing trend codes are provided, including data from CARs as well as deficient conditions that were corrected during an assessment. 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.

<p>Number of CARs Closed During the Reporting Period</p>	<p>Three more CARs were closed during this reporting period. Corrective action plans were received for 32 of the 52 CARs that remained open at the end of December 2017. Dates indicate an average expected completion time of 223 days. The average expected time to complete CARs from the previous trend report was 168 days. The closure of CARs in a trend reporting period is impacted by the planned closure time frame.</p> <p>Thirteen of the CARs closed during this reporting period had been open longer than 170 days. This compares to 10 CARs closed during the previous reporting period that had been open longer than 170 days.</p>																										
<p>Number of Assessments Performed and Number of CARs Generated</p>		<p>Previous Report Period</p> <table border="1"> <tr> <td>Assessments Performed</td> <td>CARs Generated</td> </tr> <tr> <td>Audits</td> <td>14</td> <td>19</td> </tr> <tr> <td>Surveillances</td> <td>11</td> <td>3</td> </tr> <tr> <td>Total</td> <td>25</td> <td>22</td> </tr> </table>		Assessments Performed	CARs Generated	Audits	14	19	Surveillances	11	3	Total	25	22	<p>This Report Period</p> <table border="1"> <tr> <td>Assessments Performed</td> <td>CARs Generated</td> </tr> <tr> <td>Audits</td> <td>11</td> <td>11</td> </tr> <tr> <td>Surveillances</td> <td>27</td> <td>11</td> </tr> <tr> <td>Total</td> <td>38</td> <td>22</td> </tr> </table>		Assessments Performed	CARs Generated	Audits	11	11	Surveillances	27	11	Total	38	22
Assessments Performed	CARs Generated																										
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<p>Average Number of Days to CAR Closure</p>	<p>The average time to close CARs during this reporting period increased by 111 days.</p>																										



Comparison of Activity Trend Codes With the Last 6-month Period	Activity Code	Jan-Jun 2017	This Period	Difference
	DC	3	5	+2
	MT	1	3	+2
	PD	3	0	-3
	RM	3	3	0
	TQ	2	1	-1
	WP	4	4	0
DC – Document Control MT – Control of Measuring and Test Equipment (M&TE) PD – Performance Demonstration Program (PDP) RM – Records Management TQ – Training and Qualifications WP – Work Processes NOTE: One more CAR was issued during this reporting period compared to the previous report (22 CARs issued this reporting period and 21 CARs issued last reporting period). The Activity codes above are the items with the highest number of codes identified during the 6-month reporting period of July through December 2017.				
Comparison of Deficiency Trend Codes With the Last 6-month Period	Deficiency Code	Jan-Jun 2017	This Period	Difference
	01	1	4	+3
	04	3	2	-1
	05	5	7	+2
	06	10	11	+1
01 – Definition of Work Process and Proceduralization 04 – Untrained Personnel 05 – Performance of Work 06 – Documentation of Work NOTE: The Deficiency codes above are the items with the highest number of codes identified during the 6-month reporting period of July through December 2017.				

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

Sincerely,


Martin Navarrete, Acting Director
CBFO, Office of Quality Assurance

Enclosure

Carlsbad Field Office Corrective Action 6-Month Trend Report

Report Period:
7/1/2017 to 12/31/2017

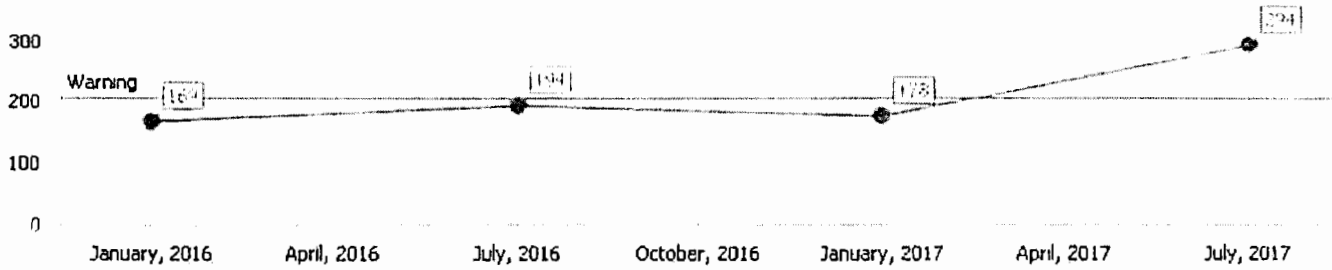
Prepared By: Jim Schuetz Jim Schuetz 1/26/18

Approved By: Martin Navarrete
CBFO QA DIRECTOR

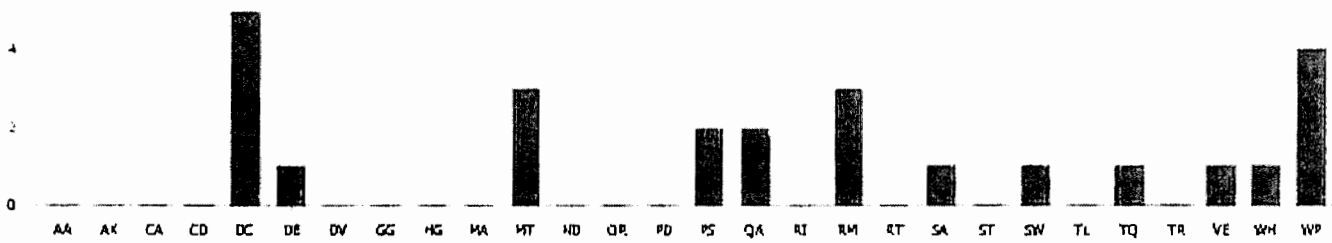
Descriptive Statistics for those CARs Closed During the Report Period (Current 6-Month Period)

Number of CARs Closed: 25	Average Days to Closure: 294
Maximum Days to Closure: 1118	Minimum Days to Closure: 33

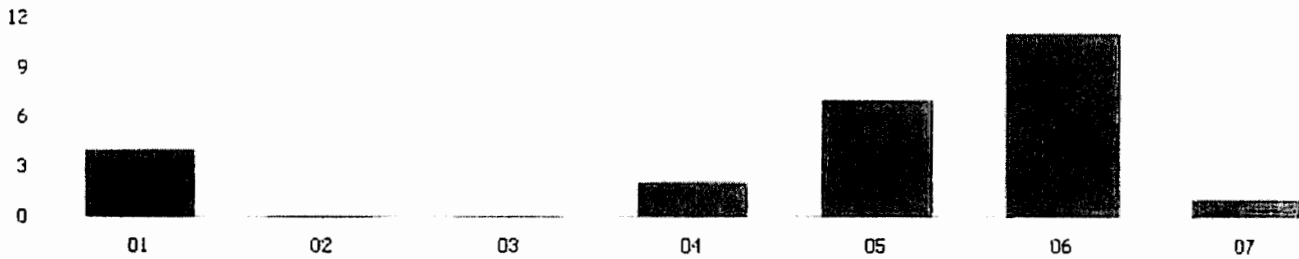
Average Number of Days to CAR Closure (Over Four 6-Month Periods)



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		