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



To: Distribution

Subject: CBFO Semi-Annual CAR Trend Analysis Report for January 1 through June 30, 2018

The Carlsbad Field Office (CBFO) Corrective Action Report (CAR) Trend Analysis Report has been completed for the reporting period January 1 through June 30, 2018. Deficiencies identified during assessment activities conducted by the CBFO of core participants subject to the CBFO Quality Assurance Program Document (QAPD) 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 first six-month reporting period for 2018, and compares the new average to the averages of the previous three six-month reporting 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:

| | | | | | |
|---|--|-------------------------------|-----------------------|------------------------------|-----------------------|
| <p>Number of CARs Closed During the Reporting Period</p> | <p>Two more CARs were closed during this reporting period. Corrective action plans were received for 21 of the 56 CARs that remained open at the end of June 2018. Dates indicate an average expected completion time of 299 days. The average expected time to complete CARs from the previous trend report was 223 days. The closure of CARs in a trend reporting period is impacted by the planned closure time frame.</p> <p>Seventeen 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> | | | | |
| <p>Number of Assessments Performed and Number of CARs Generated</p> | | <p>Previous Report Period</p> | | <p>This Report Period</p> | |
| | | <p>Assessments Performed</p> | <p>CARs Generated</p> | <p>Assessments Performed</p> | <p>CARs Generated</p> |
| <p>Audits</p> | | <p>11</p> | <p>11</p> | <p>26</p> | <p>17</p> |
| <p>Surveillances</p> | | <p>27</p> | <p>11</p> | <p>11</p> | <p>2</p> |
| <p>Total</p> | | <p>38</p> | <p>22</p> | <p>37</p> | <p>19</p> |



| | | | | |
|--|--|--------------|-------------|------------|
| Average Number of Days to CAR Closure | The average time to close CARs during this reporting period increased by 395 days. | | | |
| Comparison of Activity Trend codes with the last 6-month period | Activity Code | Jan-Jun 2018 | This Period | Difference |
| | RM | 3 | 5 | +2 |
| | WP | 4 | 14 | +10 |
| | RM – Records Management WP – Work Processes NOTE: There were 3 fewer CARs issued during this reporting period compared to the previous report (19 CARs issued this reporting period and 22 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 January through June 2018. | | | |
| Comparison of Deficiency Trend codes with the last 6-month period | Deficiency Code | Jan-Jun 2018 | This Period | Difference |
| | 01 | 4 | 8 | +4 |
| | 05 | 7 | 9 | +2 |
| | 06 | 11 | 5 | -6 |
| 01 – Definition of Work Process and Proceduralization 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 January through June 2018. | | | | |

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) 234-7372.

Sincerely,

 FOR

Donald C. Gadbury, Director
Office of Quality Assurance

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| | | | |
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Carlsbad Field Office Corrective Action 6-Month Trend Report

Report Period:
1/1/2018 to 6/30/2018

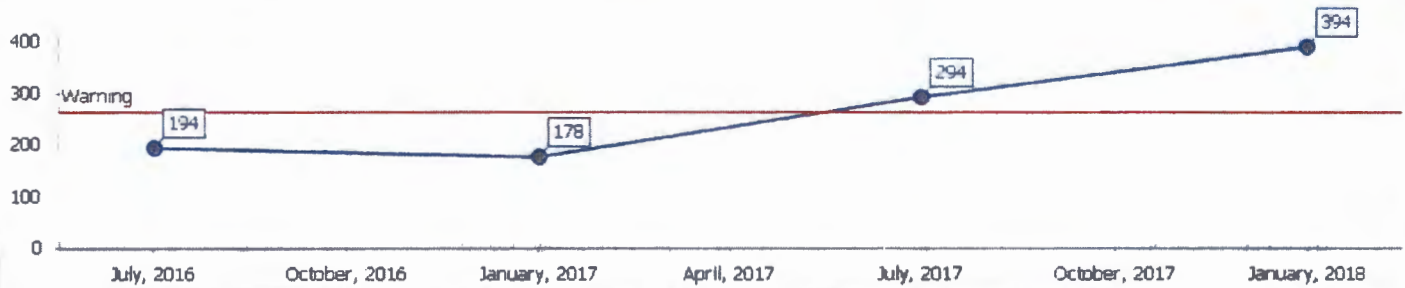
Prepared By: James R. Schuetz 7/5/18
James R. Schuetz

Approved By: [Signature]
CBFO QA DIRECTOR

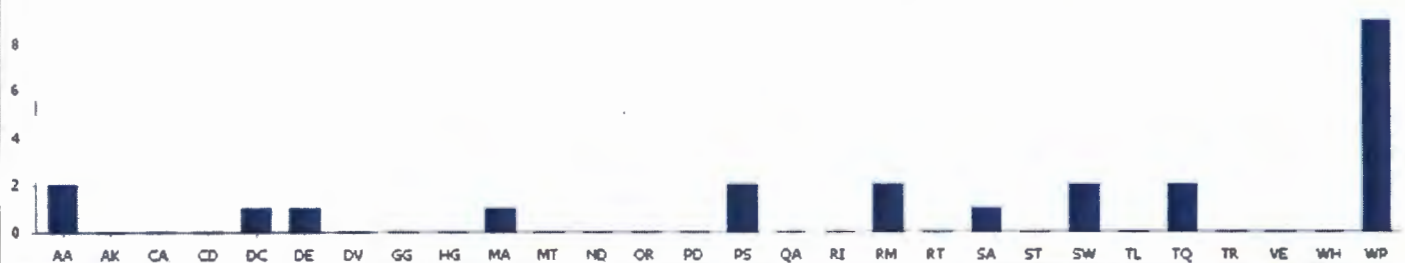
Descriptive Statistics for those CARs Closed During the Report Period (Current 6-Month Period)

| | |
|------------------------------|------------------------------|
| Number of CARs Closed: 23 | Average Days to Closure: 394 |
| Maximum Days to Closure: 649 | Minimum Days to Closure: 80 |

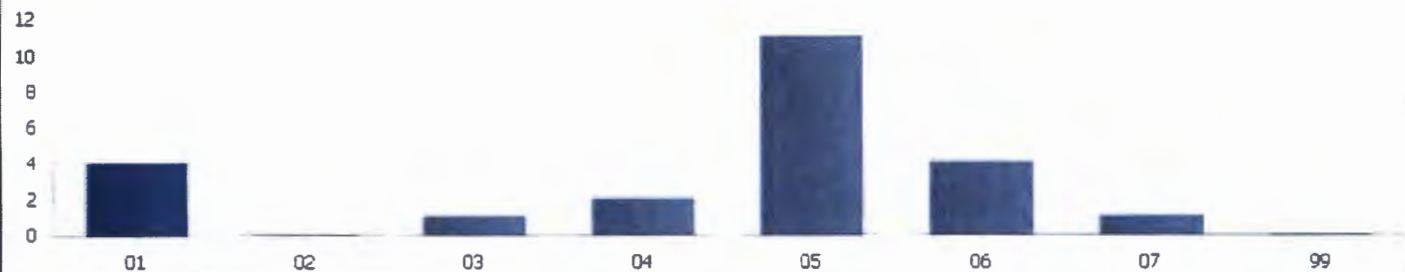
Average Number of Days to CAR Closure (Over Four 6-Month Periods)



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 | | |