

QUALITY ASSURANCE SURVEILLANCE		Identifier: PRD-5090	
		Revision*: 14	
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Quality Assurance	Program Requirements Document	For Additional Info: http://EDMS	Effective Date: 09/18/13

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1. PURPOSE

This program requirements document (PRD) identifies requirements and responsibilities for monitoring and observing organizational activities, both internal and external, evaluating their adequacy and effectiveness, verifying compliance to specified requirements, and identifying improvement opportunities.

2. APPLICABILITY

This PRD applies to company organizations conducting or subject to quality assurance (QA) *surveillances* (see def.). Performing surveillances does not take the place of *audits* (see def.) as addressed in PRD-5089, “Quality Assurance Audits.”

3. RESPONSIBILITIES

3.1 Quality Assurance Organization

The QA organization is responsible for establishing a surveillance process that identifies activities subject to surveillance and the frequency at which the surveillance of each activity will be conducted. The established frequencies should be commensurate with the status and importance of the activity to the mission of the organization or project.

The QA organization is responsible for the following:

- A. Planning, scheduling, and performing surveillances
- B. Maintaining a log of issued surveillance reports based on sequential numbering that should include report number, date of surveillance, surveyed organization, activity surveyed, and *corrective action* (see def.) status
- C. Providing the flexibility to conduct spontaneous, unscheduled surveillances to respond to immediate needs
- D. Providing the trending organization with copies of surveillance reports
- E. Providing support to other QA supervision performing interorganizational surveillances within their respective organizations
- F. Notifying an organization when planning or scheduling surveillance external to their respective organization.

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3.2 Organizations

Organizations are responsible for the following:

- A. Providing reasonable and timely access for surveillance personnel to review work activities and areas
- B. Evaluating conditions reported on surveillance reports for reportability to the Department of Energy
- C. Providing responses to issues identified during surveillance performance
- D. Implementing corrective actions within the specified time.

4. REQUIREMENTS

4.1 Companywide Applications

The requirements identified in this subsection meet the requirements in “Quality Assurance Requirements for Nuclear Facility Application,” American Society of Mechanical Engineers (ASME) NQA-1-2008 with Addenda through NQA-1a-2009, Department of Energy (DOE) Order 414.1D, “Quality Assurance,” and the other standards listed in FWD-7, “Foreword.” These requirements apply to the entire company as defined by FWD-7.

4.1.1 Basic

4.1.1.1 Surveillances will be conducted to:

- A. Verify the quality of work in progress and compliance with applicable governing documents
- B. Identify conditions adverse to quality
- C. Ensure that prompt corrective action is taken by management responsible for performing the work
- D. Verify the timely implementation, adequacy, and effectiveness of corrective action.

4.1.1.2 Surveillances will be performed by personnel who are knowledgeable about, and not directly responsible for, the work under surveillance.

4.1.1.3 Surveillances will be documented in a report to appropriate management.

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5. RECORDS

All records generated by this document that are designated in implementing documents as *quality assurance records* (see def.) will be controlled in accordance with PRD-5088, “Quality Assurance Records.”

6. DEFINITIONS

Refer to LST-199, “Quality Assurance Program Requirements Document Definitions,” for the definitions of the following terms:

audit

corrective action

quality assurance records

surveillance

7. REFERENCES

ASME NQA-1-2008 with Addenda through NQA-1a-2009, “Quality Assurance Requirements for Nuclear Facility Applications,” American Society of Mechanical Engineers

DOE Order 414.1D, “Quality Assurance”

FWD-7, “Foreword”

LST-199, “Quality Assurance Program Requirements Document Definitions”

PRD-5088, “Quality Assurance Records”

PRD-5089, “Quality Assurance Audits”