

United States Government

Department of Energy

memorandum

Carlsbad Area Office
Carlsbad, New Mexico 88221

RECEIVED

DATE: July 6, 2000

REPLY TO
ATTN OF: CAO:QA:SAV:VW:00-0833 UFC:2300


SUBJECT: Audit (A-00-14) of the Waste Isolation Division (WID)

to: Joe Epstein, General Manager, Westinghouse WID

Please be advised that a team of auditors from the Carlsbad Area Office will conduct the subject audit at the WIPP site on August 7 through August 18, 2000. The audit will be conducted in accordance with the attached audit plan. Observers from the EPA, NMED, and other interested parties may also accompany the audit team. The checklists for the audit will be transmitted to your representative prior to the audit.

You are requested to provide the resources necessary to coordinate with the audit team and arrange for appropriate space to conduct meetings, provide cognizant personnel to support the audit, and provide the audit team with access to appropriate documentation and records.

If you have any questions concerning the audit, please contact me at (505) 234-7423.


for Samuel A. Vega
Quality Assurance Manager

Attachment

cc: w/attachment
L. Chism, CAO
R. Stroud, CAO
L. Dalton, WID
T. Ferguson, WID
M. Lipscomb, WID
G. Young, WID
T. Bowden, CTAC
P. Rodriguez, CTAC
S. Zappe, NMED
M. Eagle, EPA
B. Walker, EEG
C. Walker, Techlaw
B. Vocke, Techlaw

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**CARLSBAD AREA OFFICE
AUDIT PLAN**

Audit Number: CAO A-00-14
Organization: Waste Isolation Division (WID)
Date and Location of Audit: August 7 – August 18, 2000
Waste Isolation Pilot Plant, Carlsbad, NM

Audit Team:

Pete Rodriguez	Audit Team Leader, CTAC
Lea Chism	Management Representative/Auditor, CAO
Marlin Horseman	Auditor, CTAC
Jack Walsh	Auditor, CTAC
Sid Ailes	Auditor, CTAC
Charlie Riggs	Auditor, CTAC
Steve Davis	Auditor, CTAC
Amy Arceo	Auditor, CTAC
Jeff May	Auditor, CTAC
Jim Schuetz	Auditor, CTAC

Audit Scope:

The audit will verify WID's implementation of quality assurance requirements defined in the CAO and WID Quality Assurance Program Descriptions (QAPDs) and associated implementing procedures. The audit will also evaluate the adequacy of WID implementing procedures for assuring compliance with WAP requirements identified as Permittee responsibilities, as well as, WAP requirements that must be accomplished at the WIPP, i.e., third level data verification, records management, waste stream screening and verification, WWIS system management, WWIS data management, waste receipt verification and placement, verification of prohibited items, and WSPF and Container data checks. Implementing procedures for assuring compliance with WAC/transportation requirements will also be evaluated. In addition, the audit will assess the effectiveness of WID's implementation of proceduralized requirements.

Activities/Tasks to be Audited:

Implementation of the following quality elements and activities/tasks of the CAO and WID QAPDs, supporting plans, procedures, and instructions will be audited:

Quality Assurance Elements:

- Quality Assurance Program and Organization
- Personnel Qualification and Training
- Quality Improvement (Conditions Adverse to Quality, Corrective Action)
- Documents (preparation, review, approval and control)
- Records (QA Documents)
- Work Processes (Including Waste Handling, Health Physics Surveys, and transportation program activities)
- Design Control
- Procurement
- Inspection and Testing/Control of M&TE (Including Health Physics Instrumentation)
- Management Assessment
- Independent Assessment
- Software

WAP technical requirements that relate to Permittee activities performed by WID will be audited. These requirements must be adequately addressed in supporting plans, procedures, and instructions. The following WAP sections and/or paragraphs directly address Permittee required actions or tasks:

- Waste Prohibited at the WIPP Facility (B-1c)
- Control of Waste Acceptance (B-1d)
- Data Verification (B-4a(5))
- Data Transmittal: WIPP Waste Information System (WWIS) (B-4a(6))
- Records Management (B-4a (7))
- Level Three: WIPP Screening and Verification of TRU Mixed Waste (B-4b)
- Phase I, Waste Stream Screening and Verification (B-4b(1))
- WWIS Description (WWIS reports) (B-4b(1)(i))
- Examination of the Waste Stream Profile Form and Container Data Checks (B-4b(1)(ii))
- Phase II, Waste Shipment Screening and Verification (B-4b(2))
- Examination of the EPA Uniform Hazardous Waste Manifest and Associated Waste Tracking Information (B-4b(2)(i))
- Verification (B-4b(2)(iii))
- Waste Shipment Screening QA/QC (B-4b(2)(iv))
- Records Storage (B-4b(2)(vii))
- Reporting (biennial report to NMED) (B-4b(2)(viii))
- Validation Methods (B3-1)

Governing Documents/Requirements:

Checklists will be developed from the CAO and WID QAPDs and the latest available revisions of the applicable implementing procedures.


Schedule of Audit Activities:

A pre-audit meeting is scheduled for Monday, August 7, at 8:30 a.m. at a designated location at the WIPP site.


Management briefings will be held Tuesday, August 8, through Thursday, August 17, at 8:30 a.m. at the designated location at the WIPP site.

Daily audit team caucus meetings will be held Monday, August 7, through Thursday, August 17 at 4:30 p.m. to evaluate audit progress, concerns, and logistics.

A post-audit meeting will be held Friday, August 18, at 2:00 p.m. at the designated location at the WIPP site.

Prepared by: 
Pete Rodriguez, CTAC
Audit Team Leader

Date: 6/28/00

Concurrence: 
for Samuel A. Vega, Manager
CAO Quality Assurance

Date: 7-6-00