



Department of Energy
Carlsbad Field Office
P. O. Box 3090
Carlsbad, New Mexico 88221
October 4, 2004



Mr. Steve Zappe, Project Leader
Hazardous Materials Bureau
New Mexico Environment Department
2905 E. Rodeo Park Drive, Bldg. 1
Santa Fe, NM 87502-6110

Subject: Transmittal of Surveillance Report S-04-13 Los Alamos National
Laboratory, 2010 Project

Dear Mr. Zappe:

This letter transmits the Los Alamos National Laboratory (LANL) Report for the 2010 Project records disposition and turnover activities, including the preparation and turnover of applicable software programs for continued access and use, and the disposition and turnover of acceptable knowledge records for waste that is to be characterized and certified by the LANL/Central Characterization Project. The surveillance was conducted September 21-23, 2004.

Please contact Ms. Ava L. Holland, Quality Assurance Manager, at (505) 234-7423 should you have any questions concerning this surveillance report.

Sincerely,

R. Paul Detwiler
Acting Manager

Enclosure

cc: w/enclosure
L. Piper, CBFO *ED
A. Holland, CBFO *ED
M. Chism, CBFO *ED
S. Holmes, NMED *ED
CBFO QA File
CBFO M&RC
Operating Records, MS 486-06



U.S. DEPARTMENT OF ENERGY
CARLSBAD FIELD OFFICE

SURVEILLANCE REPORT

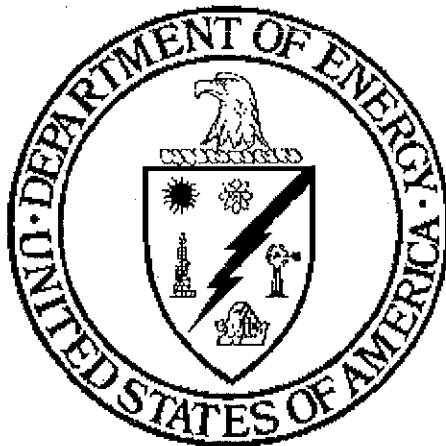
OF THE

LOS ALAMOS NATIONAL LABORATORY
LOS ALAMOS, NEW MEXICO

SURVEILLANCE NUMBER S-04-13

September 21 - 23, 2004

2010 Project



Prepared by:

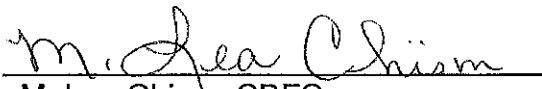


Wayne Ledford, CTAC
Surveillance Team Leader

Date:

9/27/04

Approved by:



M. Lea Chism, CBFO
Quality Assurance Specialist

Date:

09/30/04

1.0 EXECUTIVE SUMMARY

The U.S. Department of Energy Carlsbad Field Office (CBFO) performed a Surveillance of the Los Alamos National Laboratory (LANL) 2010 Project on September 21 – 23, 2004. Surveillance S-04-13 was conducted to evaluate the implementation of and effectiveness of characterization and certification activities that have been performed after the CBFO audit A-03-27. LANL project records disposition and turnover activities, including the preparation and turnover of applicable software programs for continued access and use, the disposition and turnover of acceptable knowledge records for waste that is to be characterized and certified by the LANL/Central Characterization Project (CCP) was evaluated.

The LANL 2010 program had not performed any waste characterization or certification activities since audit A-03-27. LANL continues to maintain records of its previous waste characterization and certification activities. As the waste generator, LANL also collects records from their current waste characterization and certification contractor, the CCP as they are generated.

The surveillance team determined that the LANL areas evaluated were satisfactorily implemented. No conditions adverse to quality were identified. One observation was identified as a result of this surveillance.

2.0 SCOPE

The surveillance team evaluated the disposition and turnover activities, including the preparation and turnover of applicable software programs for continued access and use, the disposition and turnover of acceptable knowledge records for waste that is to be characterized and certified by the LANL/Central Characterization Project.

The following LANL activities were evaluated:

- Project documentation closeout
- Acceptable knowledge documentation closeout
- Database archiving, electronic data storage and recoverability

A checklist was developed from the current revisions of the following documents:

- Records Management, LANL QP 00-004
- Records Management, WAP B-4a(7)
- Records Management and Reporting, WAP B-4b(2)(v)
- LANL Transuranic Waste Quality Assurance Management Plan, PLAN-00-003

3.0 SURVEILLANCE TEAM AND OBSERVERS

SURVEILLANCE TEAM

Wayne Ledford Surveillance Team Leader/CBFO Technical Assistance
Contractor (CTAC)

Prissy Dugger Auditor/CTAC

Steven Calvert Auditor/CTAC

OBSERVER

Steve Holmes New Mexico Environment Department (NMED)

Kevin Krause NMED

4.0 SURVEILLANCE PARTICIPANTS

LANL individuals involved in the surveillance are identified in Attachment 1.

5.0 SUMMARY OF SURVEILLANCE RESULTS

5.1 Surveillance Activities

The surveillance team concluded that the LANL project records disposition and turnover activities are satisfactorily implemented. Details of surveillance activities are documented in this report. No new conditions adverse to quality requiring the issuance of a CAR were identified. One observation was identified as a result of this surveillance.

5.1.1 Records Management

The surveillance team evaluated and verified the disposition and turnover activities associated with LANL 2010 Project records and were satisfactorily implemented.

QA Records were verified as being legible, accurate, and completed appropriately. Records are being dual stored, with the primary location for records being the RMDC Center and the LANL Records Center as the dual/off-site storage facility.

A unique internal ID number on the Records Submittal Form indicates completed records have been authenticated. Records are then indexed into an electronic records management database capturing the location of the record, the Records Category Number, and the Record Type, at a minimum.

The Project 2010 records storage arrangements provided adequate protection of records, including special processed records. Access to storage facilities are controlled and measures are in place to preclude the entry of unauthorized personnel into the storage area.

6.0 CORRECTIVE ACTION REPORTS (CARs), OBSERVATIONS, RECOMMENDATIONS

The surveillance team identified no deficiencies during the surveillance that required the issuance of a CAR. One Observation was identified as a result of this surveillance.

6.1 Observation

The Project 2010 inactive databases have not been archived. The databases still exist and the information is available. LANL is formulating plans to archive these databases. LANL needs to ensure these databases are, in fact, archived.

6.0 LIST OF ATTACHMENTS

Attachment 1: Personnel Contacted During the Surveillance
Attachment 2: LANL Documents Evaluated

PERSONNEL CONTACTED DURING THE SURVEILLANCE				
NAME	TITLE/ORG	PRE-SURV. MEETING	CONTACTED DURING SURV.	POST- SURV. MEETING
Baker, Shannon	RRES-QAT/LANL	X	X	
Lindahl, Peter	QA TEAM LEADER/LANL	X	X	X
Patton, Patricia	RRES-CE/LANL	X	X	X
Sheridan, Pat	SPQAO/LANL	X		X
Signore, J. C. Del	RRES-QAT/LANL	X		
Taylor, Marc	RRES-CE/LANL	X		X
Trujillo, Barbara	WCO/LANL	X		X
Zoltai, John	RRES-CIO/LANL		X	

LANL DOCUMENTS EVALUATED

Number	Document	DOCUMENT TITLE
1	PLAN-00-003	Los Alamos National Laboratory Transuranic Waste Quality Assurance Management Plan
2	QP-00-004	Records Management