



United States Government

Department of Energy

memorandum

Carlsbad Field Office
Carlsbad, New Mexico 88221

DATE: MAY 13 2005
REPLY TO
ATTN OF: CBFO:QA:DSM:LC:05-0953:UFC:2300

SUBJECT: Surveillance Report S-05-10 of RFETS Characterization and Certification of Waste
to: Joe Legare, Assistant Manager for Projects



The Department of Energy (DOE) Carlsbad Field Office (CBFO) conduct a surveillance of the Rocky Flats Environmental Technology Site (RFETS) waste characterization activities on April 26 - 27, 2005. The surveillance team concluded that the RFETS technical and quality assurance programs for these activities were adequate in accordance with the Waste Idolization Pilot Plant (WIPP) Hazardous Waste Facility Permit, the CBFO Contact-Handled Transuranic Waste Acceptance Criteria for the WIPP, and the CBFO Quality Assurance Program Document

If you have any questions or comments, please contact me at (505) 234-7491.

Dennis S. Miehls
Senior Quality Assurance Specialist

Attachment

cc: w/attachment

K. Watson, CBFO	*ED	S. Holmes, NMED	ED
A. Holland, CBFO	ED	D. Winters, DNFSB	ED
L. Xuan, RFPO	ED	C. Ferrera, RFETS	ED
D. Hicks, RFPO	ED	G. O'Leary, RFETS	ED
M. Eagle, EPA	ED	C. Riggs, CTAC	ED
B. Shroff, EPA	ED	L. Price, LANL	ED
E. Feltcorn, EPA	ED	CBFO M&RC	
R. Joglekar, EPA	ED	CBFO QA File	
S. Zappe, NMED	ED	WIPP Operating Record	

*ED denotes Electronic Distribution

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U.S. DEPARTMENT OF ENERGY
CARLSBAD FIELD OFFICE
SURVEILLANCE REPORT
OF THE
ROCKY FLATS ENVIRONMENTAL TECHNOLOGY SITE
GOLDEN, COLORADO
SURVEILLANCE NUMBER S-05-10
April 26-27, 2005
TRU WASTE
CHARACTERIZATION AND CERTIFICATION ACTIVITIES



Prepared by: *Charles L. Riggs* Date: 5/13/05
Charles L. Riggs, CTAC
Surveillance Team Leader

Approved by: *Dennis S. Miehl* Date: 5-13-05
Dennis S. Miehl, CBFO
Quality Assurance Specialist

1.0 EXECUTIVE SUMMARY

Carlsbad Field Office (CBFO) Surveillance S-05-10 was conducted to evaluate the implementation of technical and quality assurance (QA) activities at the Rocky Flats Environmental Technology Site (RFETS) at the end-of-project. No further assessments will be performed. The activities evaluated included selected acceptable knowledge (AK) activities that had occurred since the CBFO Audit A-04-10 that was conducted on March 30 – April 2, 2004, closeout and disposition of records, and retirement of software.

The surveillance was conducted at the RFETS facilities in Golden, Colorado, on April 26 and 27, 2005. The surveillance team determined that the activities evaluated were satisfactorily implemented. Two minor conditions adverse to quality were identified as a result of the surveillance: a software item had not been listed on one WIPP Record Transmittal/Receiving Form (WRT/RF) and the Record Inventory and Disposition Schedule (RIDS) file code had not been entered on another (see CDSs 1 and 2). An Observation was provided to CBFO management as a result of the surveillance and is described in section 6.0.

2.0 SCOPE

This end-of-project closeout surveillance evaluated the RFETS project records disposition activities, including the preparation and turnover of applicable software programs for continued access and use, and the disposition and turnover of AK records for waste that is to be characterized and certified by other DOE sites. The continued implementation of the RFETS AK process and the quality program activities, and program assessments as related to the AK process were also evaluated.

The following QA activities were evaluated in accordance with the CBFO Quality Assurance Program Document (QAPD):

- Nonconformances and Corrective Action
- Personnel Qualification and Training
- Documents and Records
- Software

The surveillance team also evaluated RFETS AK activities for implementation in conformance with the Waste Acceptance Criteria (WAC) and Waste Analysis Plan (WAP):

The evaluation of RFETS transuranic (TRU) waste activities and documents was based on current revisions of the following documents:

- *Waste Isolation Pilot Plant Hazardous Waste Facility Permit*
- *Quality Assurance Program Document, DOE/CBFO-94-1012*
- *Contact-Handled Transuranic Waste Acceptance Criteria for the Waste Isolation Pilot Plant Project (WAC), DOE/WIPP-02-3122*

- *RFETS Quality Assurance Project Plan for the Transuranic Waste Characterization Program, 95-QAPJP-0050*
- *RFETS Transuranic Waste Management Manual, 1-MAN-008-WM-001*
- Related RFETS technical and QA implementing procedures.

3.0 SURVEILLANCE TEAM, INSPECTOR, AND OBSERVER

SURVEILLANCE TEAM

Charlie Riggs Surveillance Team Leader, CBFO Technical Assistance Contractor (CTAC)

Norman Frank Surveillance Team Member, CTAC

Jack Walsh Surveillance Team member, CTAC

INSPECTOR

Connie Walker Environmental Protection Agency (EPA) Contractor

OBSERVER

June Dreith New Mexico Environment Department (NMED) Contractor

4.0 SURVEILLANCE PARTICIPANTS

RFETS individuals involved in the surveillance are identified in Attachment 1. A pre-surveillance meeting was held at RFETS Building 460 on April 26, 2005. The surveillance was concluded with a post-surveillance meeting at RFETS Building 460 on April 27, 2005.

5.0 SUMMARY OF SURVEILLANCE RESULTS

5.1 Program Implementation

The surveillance team concluded that the RFETS AK process and activities associated with the end-of-project closeout are satisfactorily implemented.

5.2 Activities Evaluated

This end-of-project closeout surveillance evaluated the RFETS project records disposition activities, including the preparation and turnover of applicable software programs for continued access and use, and the disposition and turnover of AK records for waste that is to be characterized and certified by other DOE sites. The surveillance team also verified continued implementation of the RFETS AK process and the quality program activities associated with personnel training and qualification, control of nonconformances and corrective actions, control of documents and records, and program assessments as related to the AK process since the last surveillance in December 2004.

5.2.1 Records Disposition

The surveillance team reviewed documentation and held interviews with Records and Management personnel. The following information was determined:

- TRU program procedures will be deactivated on May 2
- 2366 boxes of records have been transferred to the Department of Veterans Affairs (VA) Records Center and Vault (RC&V) in Neosho, Missouri
- The final receipt of records into the RFETS Records Center will be May 12, 2005
- The final shipment to Neosho will be May 16, 2005
- The Records Database will be transferred to CBFO Chief Information Officer Meg Milligan, on May 19, 2005
- The CBFO will assume custody of the records on May 30, 2005, through a Franchise Agreement with Neosho

As a check of the ability to retrieve records, a reference was randomly chosen from an AK document for retrieval. Neosho had pulled the record within three hours and the information could have been sent overnight to RFETS.

The surveillance team determined that in order for the sites that will continue to process waste that originated at RFETS, CBFO will need to provide them with information on how to obtain needed AK or other information (see Observation 1)

5.2.2 Acceptable Knowledge

The surveillance team randomly selected a container (DA1177) from the last RFETS TRU waste shipment. The shipment's Waste Stream Profile Form (WSPF) (WSPF RF002.01, non-mixed metal debris) and other AK objective evidence were examined.

In addition to reviewing the AK Summary documents, WSPF and attachments, and examples from the referenced AK source documents, the team conducted a traceability study on the container. Beginning with information from the Waste and Environmental Management System (WEMS) database, AK information was traced back to waste stream residue identification and characterization (WSRIC) and/or Backlog Waste Reassessment Baseline Book (BWRBB) records on the process. Batch data reports for the container were also examined. In addition, the surveillance team reviewed and collected objective evidence relevant to discrepancies in the AK record, discrepancies between the AK record and confirmatory test data, the discovery and mitigation of prohibited items in waste, and how AK Quality Assurance Objectives (QAOs) were met. These activities were evaluated by reviewing the Final AK Accuracy Report, and other documents.

5.2.3 Software

NDA software was the last to be retired from use. Five workstations had been retained with NDA analysis software installed until the completion of this surveillance. The surveillance team reviewed NDA Software Change Requests (SCRs) 0151 through 0153 for retirement of NDA software for the 440 SuperHENC, 440 IPAN, and 440 MPCC. All required documentation was found in Records. Two CDSs identified and corrected minor errors on the records transmittal forms for SCRs 0151 and 0152. The SCRs to retire the remaining NDA software from the five remaining workstations had been prepared and were ready for processing.

The surveillance team reviewed SCR 0148 for the 664TGS04 (barcode 000174767). All documentation was found in Records.

The surveillance team reviewed the Master System List and verified that all software had been retired except for the software on the remaining NDA workstations.

5.2.4 WEMS

The WEMS has been completed for TRU waste shipped to the WIPP. CBFO personnel will be at the RFETS site in May to learn how to operate the WEMS and to pick up a hard drive that will contain the WEMS and its associated databases. The security evaluation on this hard drive will have been completed by RFETS before it is turned over to CBFO. CBFO will verify that the WEMS and the databases can be installed and used on a CBFO server. A backup will be made, and then CBFO will notify RFETS that their backup copy of the CBFO version can be deleted. WEMS will continue to be used by RFETS until all low-level waste has been dispositioned. CBFO will be responsible for ensuring the WEMS data containing information on TRU waste shipped to the WIPP is available to other DOE sites.

6.0 CORRECTIVE ACTIONS AND OBSERVATION

6.1 Corrective Action Report (CAR)

No conditions adverse to quality necessitating the issuance of a CAR were identified during the surveillance.

6.2 Corrected during the Surveillance

CDS 1

Barcode No. 000181139, WRT/RF for NDA SCR 0151, did not have the third software item listed. The SCR itself had all three items correctly entered.

The third software item, LN-440SH1-LANLNEU-1.03-0402 was entered, signed and dated by the Quality Engineer.

CDS 2

Barcode No. 000181140, WRT/RF for NDA SCR 0152, did not have the RIDS file code entered.

The RIDS file code was entered, signed, and dated by the Quality Engineer. The surveillance team verified the correct file code was entered into the records system.

6.3 Observations

One Observation, described below, was provided to CBFO management as a result of the surveillance.

Observation 1

When RFETS completely ceases operations in the near future, there will still be sites processing waste that originated at RFETS. Directions need to be provided to these sites as to how they can obtain AK or other needed information that would have previously been obtained from RFETS.

6.0 LIST OF ATTACHMENTS

Attachment 1: Personnel Contacted During the Surveillance

Attachment 2: RFETS Documents Evaluated

PERSONNEL CONTACTED DURING THE SURVEILLANCE				
NAME	TITLE/ORG	PRE-SURV. MEETING	CONTACTED DURING SURV.	POST-SURV. MEETING
Armour, Faith	Lead WRC, SOM	X	X	X
Arnold, Pat	TRU Waste, KH	X		X
Ballenger, Roger	TRU Waste Program Manager, KH	X	X	X
Barroso, Jeff	ESH&Q Mgr., KH	X		
Dahl, Dave	Quality Engineer, MSQA	X	X	X
D'Amico, Eric	TRU Waste Program, KH	X	X	
Durel, Med	Measurements, Manager	X	X	X
Edrich, Pam	Tech Mgr., Waste Systems; KH	X	X	X
Eschenbaum, Bobby	TRU Prog; KH TRU Prog			X
Ferrera, Carol	TWCP PQAO, KH	X	X	X
Gatliffe, Tom	Stat Apps; TRU Waste Program			X
Gillespie, Doyle	Sr Mgmt Integrater, Site Quality Program	X		X
Grady, Frank	TRU Waste Engineer, KH	X		X
Johnson, Micky	TRU Waste Program, Wastren	X	X	X
Kirschenmann, Harley	MSQA Manager, KH/Mactec	X	X	X
Kocsis, Frank	Program Manager, SOM	X	X	X
Martin, Vickie	Tech Mgr., KH-Waste Systems		X	
McKinney, Ruth	EVP; SOM	X	X	

PERSONNEL CONTACTED DURING THE SURVEILLANCE				
NAME	TITLE/ORG	PRE-SURV. MEETING	CONTACTED DURING SURV.	POST-SURV. MEETING
O'Leary, Jerry	TWCP & Measure Manager, KH	X	X	
Papp, Michael	Prog. Mgr BWR, Wastren	X	X	
Pigeon, Paul	TWCP Training Officer; MS			X
Senger, Valerie	Records Specialist; SOM		X	
Smart, Kim	KH Admin; KH	X	X	
Tressell, John	Alt. PQAO, MSQA	X		X
Trivett, Airrus	QA Manager, KH-IT		X	
Turner, Pam	ICT/Operation Applications, WEMS Team Lead		X	
Wolfe, Mike	TRU Waste Program PDCO, SOM	X	X	X

RFETS DOCUMENTS EVALUATED		
Number	Document/Rev. No.	DOCUMENT TITLE
1	1-MAN-008-WM-001	Transuranic (TRU) Waste Management Manual
2	95-QAPJP-0050	Rocky Flats Environmental Technology Site TRU Waste Characterization Program Quality Assurance Project Plan
3	PRO-484-WIPP-003	Collection, Review, and Confirmation of Acceptable Knowledge Documentation
4	PRO-767-WIPP-001	Waste Records Center Processing
5	PRO-077-WIPP-005	Management of Waste Information Prior to Transmittal to the Waste Records Center
6	1-PRO-087-WEMS-WP-1201	WEMS Waste Package Inventory, Tracking, and Control
7	PRO-940-WIPP-010	WIPP TRU Waste characterization Project Level Data Review and Reporting