



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

SEP 20 2010



Mr. Jon E. Hoff, Manager
 Quality Assurance
 Washington TRU Solutions, LLC
 P.O. Box 2078
 Carlsbad, NM 88221 - 2078

Subject: Surveillance Report S-10-36, WIPP Records Holding Facility

The Carlsbad Field Office (CBFO) conducted Surveillance S-10-36 of the activities performed by the S. M. Stoller Corporation at the Waste Isolation Pilot Plant (WIPP) Records Holding Facility on September 7-9, 2010. The surveillance team concluded that the requirements for the management of records at the Records Holding Facility were satisfactorily implemented and effective. One condition adverse to quality was identified related to microfilm inspections and was documented in Corrective Action Report (CAR) 10-051. The CAR was transmitted under separate cover.

If you have any questions, please contact me at (575) 234-7442.

Sincerely,

M. Lea Chism
 Quality Assurance Specialist

Enclosure

cc: w/enclosure

- | | | | |
|--------------------|-----|-------------------------------------|----|
| A. Holland, CBFO | *ED | R. Lee, EPA | ED |
| D. Garcia, CBFO | ED | S. Zappe, NMED | ED |
| M. Milligan, CBFO | ED | S. Holmes, NMED | ED |
| D. Miehl, CBFO | ED | T. Kesterson, DOE OB WIPP NMED | ED |
| M. Navarrete, CBFO | ED | D. Winters, DNFSB | ED |
| F. Sharif, WTS | ED | B. Pace, CTAC | ED |
| M. A. Mullins, WTS | ED | K. Martin, CTAC | ED |
| T. Peake, EPA | ED | P. Hinojos, CTAC | ED |
| M. Eagle, EPA | ED | WIPP Operating Record | ED |
| E. Feltcorn, EPA | ED | CBFO QA File | |
| R. Joglekar, EPA | ED | CBFO M&RC | |
| S. Ghose, EPA | ED | *ED denotes electronic distribution | |

CBFO SURVEILLANCE REPORT

Surveillance Number: S-10-36 **Date of Surveillance:** September 7 – 9, 2010

Surveillance Title: CBFOWIPP Records Holding Facility

Organization: Washington TRU Solutions (WTS)/S. M. Stoller Corporation

Surveillance Team:

M. Lea Chism	Management Representative, Carlsbad Field Office (CBFO)
B. D. Pace	Surveillance Team Leader, CBFO Technical Assistance Contractor (CTAC)
J. Walsh	Surveillance Team Member, CTAC
H. Washington	Surveillance Team Member, CTAC
P. Hinojos	Surveillance Team Observer, CTAC
K. Martin	Surveillance Team Observer, CTAC

Surveillance Scope:

The scope of the surveillance was to evaluate the implementation and effectiveness of activities performed by the S. M. Stoller Corporation for WTS at the CBFOWIPP Records Holding Facility (RHF) in Carlsbad, NM. The scope also included evaluations to determine the degree of sustained corrective action for three conditions adverse to quality, which were identified during the last CBFO surveillance (S-09-36).

Surveillance Results:

Activities Evaluated:

- Review and approval of Records Inventory and Disposition Schedules (RIDS)
- Receipt of Records
- Processing Records for Microfilming and/or Storage
- Verifying and Inspecting Microfilm
- Processing Aperture Cards
- Retrieval of Records
- Destruction of Nonpermanent Records

Overall, the surveillance team determined that the applicable requirements for activities performed at the CBFOWIPP RHF were satisfactorily implemented and effective. Furthermore, the team determined that the corrective actions taken to address deficiencies identified during the previous surveillance (S-09-36) were satisfactory in resolving the deficiencies, since no similar conditions were observed. One condition adverse to quality was identified; however, it was deemed minor in significance and having no adverse affect on the program. This condition adverse to quality was related to the verification of microfilm and was documented on a corrective action report (CAR), which was transmitted under separate cover. Also, the surveillance team identified an Observation regarding controlled forms. While verifying the process for the review and approval of draft and revised RIDS, the surveillance team observed the practice of maintaining controlled forms in a shared folder on the RHF internal network. Although this practice does not depart from the requirements of the CBFO QAPD for the management of controlled documents, if a revision to the form within the document management system were to occur, it would render the form maintained on the network (typically used by RHF personnel) obsolete.

Corrective Actions:

CAR 10-051

Condition adverse to quality:

There was no evidence to confirm that a red "M" stamp was applied to completed containers WRA0023854, WRA0023855, WRA0023856, and WRA0023822.

Requirement:

WP 15-RM3009, Rev 1, Verification of Microfilm, Section 2.5.7, states: "Verifier, Stamp the container with a red "M" stamp when the container is completed."

Surveillance Team Leader:  Date: 9/20/10
B. D. Pace

Assistant Manager/Office Director: N/A Date:

CBFO QA Director Approval:  Date: 9-20-10
Ava L. Holland