

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



FEB 28 2012

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

Subject: Notification for Washington TRU Solutions Records Processes Audit A-12-17

Dear Mr. Hoff:

The Carlsbad Field Office will conduct Audit A-12-17 of the Washington TRU Solutions (WTS) Records Processes April 3-5, 2012. The audit will be conducted in accordance with the enclosed audit plan.

Your representatives are requested to coordinate with the audit team to provide the team access to the WTS facilities, appropriate space to conduct meetings, cognizant personnel to support the audit, and access to the appropriate documentation and records.

If you have any questions, please contact me at (575) 234-7482.

Sincerely,

Erin Preciado  
 Quality Assurance Management Representative

Enclosure

cc: w/ enclosure

- |                    |     |                                     |    |
|--------------------|-----|-------------------------------------|----|
| R. Unger, CBFO     | *ED | R. Maestas, NMED                    | ED |
| A. Holland, CBFO   | ED  | T. Kesterson, NMED/DOE OB           | ED |
| E. Preciado, CBFO  | ED  | J. Marple, NMED/DOE OB              | ED |
| F. Sharif, WTS     | ED  | D. Winters, DNFSB                   | ED |
| M. A. Mullins, WTS | ED  | G. Knox, CTAC                       | ED |
| T. Peake, EPA      | ED  | M. Mager, 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 |    |
| R. Lee, EPA        | ED  |                                     |    |
| J. Kieling, NMED   | ED  |                                     |    |
| T. Kliphuis, NMED  | ED  |                                     |    |
| T. Hall, NMED      | ED  |                                     |    |
| S. Holmes, NMED    | ED  |                                     |    |

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## CARLSBAD FIELD OFFICE AUDIT PLAN

**Audit Number:** A-12-17

**Organization to be Audited:** Washington TRU Solutions, LLC (WTS)

**Organizations to be Notified:** WTS  
New Mexico Environment Department  
U.S. Environmental Protection Agency  
Defense Nuclear Facilities Safety Board

**Date and Location:** April 3 – 5, 2012  
Waste Isolation Pilot Plant (WIPP)

**Audit Team:**

Richard Farrell	Quality Assurance Management Representative, Carlsbad Field Office (CBFO)
Greg Knox	Audit Team Leader, CBFO Technical Assistance Contractor (CTAC)
Katie Martin	Auditor, CTAC
Norman Frank	Auditor, CTAC
Harley Kirschenmann	Auditor, CTAC
Prissy Martinez	Auditor, CTAC
Miles Littlefield	Auditor-in-Training, CTAC
Melissa Mager	Auditor-in-Training, CTAC

### **Audit Scope:**

Audit A-12-17 will evaluate adequacy of WTS procedures for document control with respect to CBFO and WTS quality assurance requirements. The audit team will witness implementation and performance documentation of records processing procedures. Emphasis will be placed on quality records. Effectiveness of implementation and documentation of procedure work steps will also be evaluated.

### **Activities/Tasks to be Audited:**

Evaluation of records processing will include the creation, maintenance, use, and disposition of all records. Processes to be evaluated include but are not limited to the following:

- Storage of in-process records
- Correction of records
- Transfer of records
- Retrieval of records
- Preparation of Records Inventory and Disposition Schedule (RIDS)
- WIPP Operating Record
- Disposal of records

- Training of records coordinators
- Legibility of records
- Completeness of records

**Governing Documents/Requirements:**

The overall program adequacy and effectiveness of WTS documents will be based on the current revisions of the following documents:

- DOE/CBFO-94-1012, *Quality Assurance Program Document*
- WP 13-1, *Washington TRU Solutions, LLC, Quality Assurance Program Description*
- WP 15-RM, *WIPP Records Management Program*
- WP 15-RM3002, *Records Filing, Inventorying, Scheduling, and Dispositioning*
- WP 15-RM3003, *Disposal of Nonpermanent Records in Office*
- WP 15-RM3005, *Records Transfer and Retrieval*

Checklists will be developed using criteria and section topics found in the WTS *Quality Assurance Program Description* and implementing procedures.

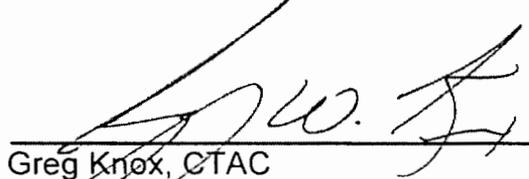
**Schedule of Audit Activities:**

A pre-audit conference is scheduled for 8:30 a.m. Tuesday, April 3, 2012, in the Support Building (Bldg. 451) second floor large conference room.

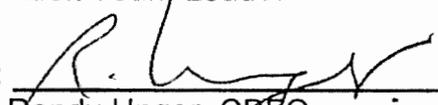
Audit team caucuses will be held at 3:00 p.m. Tuesday and Wednesday, April 3 – 4, 2012, and 1:30 p.m. Thursday, April 5, 2012, in the Support Building (Bldg. 451) second floor small conference room.

Management briefings will be held in a location to be determined.

A post-audit conference is scheduled for 3:00 p.m., Thursday, April 5, 2012, in the Support Building (Bldg. 451) second floor large conference room.

Prepared By:   
Greg Knox, CTAC  
Audit Team Leader

Date: 24 Feb 2012

Approved By:   
Randy Unger, CBFO  
Director, Office of Quality Assurance

Date: 27 Feb 12