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

OCT 10 2012



Mr. Jon E. Hoff, Manager
Quality Assurance
Nuclear Waste Partnership, LLC
P.O. Box 2078
Carlsbad, NM 88221-2078

Subject: Notification of Audit A-13-05 of the Nuclear Waste Partnership Assurance System Compliance with Department of Energy Order 226.1B

Dear Mr. Hoff:

Please be advised that the Carlsbad Field Office will conduct the subject audit at the Waste Isolation Pilot Plant near Carlsbad, NM, November 13 - 15, 2012. The audit will be conducted in accordance with the enclosed audit plan.

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

If you have any questions, please contact me at (575) 234-7065.

Sincerely,

Richard Farrell
Richard Farrell

for Randy Unger, Director
Office of Quality Assurance

Enclosure

cc w/enclosure:

R. Farrell, CBFO	*ED	S. Holmes, NMED	ED
C. Gadbury, CBFO	ED	R. Maestas, NMED	ED
G. Gamlin, CBFO	ED	T. Kesterson, NMED/DOE OB	ED
F. Sharif, NWP	ED	J. Marple, NMED/DOE OB	ED
M. A. Mullins, NWP	ED	D. Winters, DNFSB	ED
T. Peake, EPA	ED	B. Pace, CTAC	ED
M. Eagle, EPA	ED	G. White, CTAC	ED
E. Feltcorn, EPA	ED	M. Mager, CTAC	ED
R. Joglekar, EPA	ED	WIPP Operating Record	ED
S. Ghose, EPA	ED	CBFO QA File	
R. Lee, EPA	ED	CBFO M&RC	
J. Kieling, NMED	ED	*ED denotes electronic distribution	
T. Kliphuis, NMED	ED		



**CARLSBAD FIELD OFFICE
AUDIT PLAN**

Audit Number: CBFO A-13-05

Organization to be Audited: Nuclear Waste Partnership LLC (NWP)

Organization(s) to be Notified: NWP
New Mexico Environment Department (NMED)
U. S. Environmental Protection Agency (EPA)
Defense Nuclear Facilities Safety Board (DNFSB)

Date and Location: November 13 – 15, 2012
Waste Isolation Pilot Plant (WIPP)

Audit Team:

Richard Farrell	CBFO Management Representative
Berry Pace	Audit Team Leader, CBFO Technical Assistance Contractor (CTAC)
Charlie Riggs	Auditor, CTAC
Jack Walsh	Auditor, CTAC

Audit Scope:

Audit A-13-05 will evaluate the adequacy and effective implementation of NWP programs and implementing procedures established for compliance with U.S. Department of Energy (DOE) Order (O) 226.1B, *Implementation of Department of Energy Oversight Policy*.

Activities to be Audited:

The audit team will evaluate activities associated with the NWP assurance system for implementing the requirements prescribed in DOE O 226.1B, Attachment 1, Contractor Requirements Document (CRD). Furthermore, the team will evaluate the required flow-down of requirements to NWP sub-tier contractors, where applicable. Specific activities of the NWP assurance system to be evaluated include:

- Level of rigor applied to assessment programs
- Issues management
- Categorization and significance determinations for deficiencies
- Corrective action and effectiveness reviews
- Performance trends and analysis
- Continuous feedback and improvement
- Communication and reporting to senior management
- Validation of the effectiveness of the assurance system process

Organizations to be Audited:

Based on the scope of this audit, it is anticipated that responsible personnel from the following NWP organizations may be interviewed:

- Quality Assurance
- Operations
 - Issues Management
- Performance Assurance
 - Nuclear and Work Safety Compliance
- Central Characterization Project
- Procurement Services
- Human Resources
- Environmental, Safety and Health
 - Safety Programs

Controlling Documents:

Checklists will be developed based on applicable requirements and used to guide the audit process.

Degree of adequacy will be determined based upon the program's demonstrated ability in addressing the requirements of DOE O 226.1B, Attachment 1, and effectiveness will be determined by verifying implementation of selected requirements from the following NWP program documents and/or procedures:

- WP 13-1, *NWP Quality Assurance Program Description*
- WP 04-IM1000, *Issues Management Processing of WIPP Forms*
- WP 10-WC3011, *Work Control Process*
- WP 12-ES3918, *Reporting Occurrences in Accordance with DOE Order 232.2*
- WP 13-QA.03, *Quality Assurance Independent Assessment Program*
- WP 13-QA.04, *Quality Assurance Department Administrative Program*
- WP 13-QA3004, *Nonconformance Report*
- WP 13-QA3006, *Data Analysis and Trending*
- WP 13-QA3007, *External Oversight Activities*
- WP 13-QA3012, *Supplier Evaluation/Qualification*
- WP 15-GM.03, *Integrated Safety Management System Description*
- WP 15-GM1000, *Management Assessments*
- WP 15-GM1001, *Root Cause Analysis*
- WP 15-PA.01, *Operating Experience/Lessons Learned Program*
- WP 15-PA4000, *Self Assessments*
- WP 15-PA2000, *Lessons Learned Bulletin Development*
- WP 15-PC3609, *Preparation of Purchase Requisitions*

- WP 15-RA.01, *Nuclear Safety & Worker Safety and Health Compliance Program*
- MP 1.12, *Worker Protection Policy*
- MP 4.2, *Employee Concerns*
- CCP-PO-002, *CCP Transuranic Waste Certification Plan*
- CCP-QP-004, *CCP Corrective Action Management*
- CCP-QP-014, *CCP Trend Analysis and Reporting*
- CCP-QP-015, *CCP Procurement*
- CCP-QP-018, *CCP Management Assessment*
- CCP-QP-019, *CCP Quality Assurance Reporting to Management*
- CCP-QP-021, *CCP Surveillance Program*

Schedule of Audit Activities:

A pre-audit meeting is scheduled for 8:30 a.m., Tuesday, November 13, 2012, in the WIPP Support Building large conference room.

Management briefings, if necessary, will be held at 8:30 a.m., Wednesday and Thursday, November 14 and 15, 2012, at a location to be determined.

Daily audit team caucus meetings will be held at 3:30 p.m., Tuesday and Wednesday, November 13 and 14, 2012, in the WIPP Support Building small conference room, and at 1:00 p.m., Thursday, November 15, 2012, in the WIPP Support Building small conference room.

A post-audit meeting will be held at 2:30 p.m., Thursday, November 15, 2012, in the WIPP Support Building large conference room.

Prepared by: Berry D. Pace
Berry D. Pace, CTAC
Audit Team Leader

Date: 10/4/12

Concurrence: Richard Farrell
for Randy Unger, CBFO
Director, Office of Quality Assurance

Date: 10/10/2012