



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



September 3, 2013

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

Subject: Transmittal of Surveillance Report S-13-30, WIPP Records Management Services Program/CBFO Records Holding Facility

Dear Mr. Hoff:

The Carlsbad Field Office (CBFO) conducted the subject surveillance at the Waste Isolation Pilot Plant (WIPP) Records Archive/Records Holding Facility (2101-A South Canal Street) and the Records Processing Center (400-2 Cascades Avenue, Suite 203) in Carlsbad, New Mexico, on August 13-14, 2013. The surveillance team concluded that the requirements for the management of records at the WIPP Records Archive and CBFO Records Holding Facility were satisfactorily implemented and effective.

One condition adverse to quality was identified related to the destruction of nonpermanent records and was documented in Corrective Action Report (CAR) 13-054. The CAR was transmitted under separate cover.

If you have any questions concerning the surveillance, please contact me at (575) 234-7491.

Sincerely,

Dennis S. Miehl  
 Senior Quality Assurance Specialist

Enclosure

cc: w/enclosure

O. Vincent, CBFO	* ED	T. Kliphuis, NMED	ED
M. Navarrete, CBFO	ED	S. Holmes, NMED	ED
B. Mackie, CBFO	ED	R. Maestas, NMED	ED
L. Chism, CBFO	ED	C. Smith, NMED	ED
F. Sharif, NWP	ED	J. Harvill, CTAC	ED
B. Allen, NWP	ED	R. Allen, CTAC	ED
S. Punchios, NWP	ED	C. Castillo, CTAC	ED
V. Cannon, NWP	ED	K. Martin, CTAC	ED
W. Ledford, NWP	ED	D. Harvill, CTAC	ED
T. Peake, EPA	ED	G. White, CTAC	ED
L. Bender, EPA	ED	M. Fox, S. M. Stoller	ED
S. Ghose, EPA	ED	WIPP Operating Record	ED
R. Lee, EPA	ED	CBFO QA File	
J. Kieling, NMED	ED	CBFO M&RC	

\*ED denotes electronic



# CBFO SURVEILLANCE REPORT

**Surveillance Number:** S-13-30      **Date of Surveillance:** August 13 – 14, 2013

**Surveillance Title:** WIPP Records Management Services Program/CBFO Records Holding Facility

**Organization:** Nuclear Waste Partnership LLC/S. M. Stoller Corporation

## Surveillance Team:

Dennis Miehls	Management Representative, Carlsbad Field Office (CBFO)
Cindi Castillo	Surveillance Team Leader, CBFO Technical Assistance Contractor (CTAC)
Katie Martin	Surveillance Team Member, CTAC

## Surveillance Scope:

The scope of the surveillance was to evaluate the implementation and effectiveness of Waste Isolation Pilot Plant (WIPP) Records Management Services (WRMS) processes performed by the S. M. Stoller Corporation for Nuclear Waste Partnership LLC at the WIPP Records Archive (WRA) and CBFO Records Holding Facility (RHF) in Carlsbad, New Mexico.

The scope also included evaluations to determine the degree of sustained corrective action for one condition adverse to quality (CAQ), which was identified during the previous CBFO surveillance (S-10-36).

## Surveillance Results:

The surveillance team interviewed records personnel and management and observed procedural walk-downs of each WRMS process performed by the records staff.

The following activities were evaluated:

- Review and approval of Records Inventory and Disposition Schedules (RIDS)
- Receipt of Records Boxes/Folders in the CBFO RHF
- Processing Records
- Processing Aperture Cards
- Process for Retrieving Records from the RHF

- Microfilm Processing, Inspection, and Verification
- Disposal of Nonpermanent Records

One procedure, WP 15-RM3009, *Verification of Microfilm*, is no longer utilized and has become obsolete since the previous surveillance (S-10-36). The process is currently implemented in WP 15-RM3008, Rev. 8, *WIPP Records Archives (WRA) Records Production Process*. Team members interviewed records personnel to confirm that microfilm is no longer utilized as a method for imaging records. Scanning the records is the current method used.

The team determined that the corrective actions taken to address Corrective Action Report (CAR) 10-051, identified during the previous surveillance (S-10-36), were satisfactory in resolving the deficiency, since no similar conditions were observed during this surveillance. This CAQ was related to verification of microfilm and was documented in the S-10-36 Surveillance Report.

One concern (CAR 13-054) was identified relating to the destruction of nonpermanent records. While observing the process for the destruction of nonpermanent records, the surveillance team recognized that the Records Clerk did not import the destruction of nonpermanent records concurrence letter into the Electronic Records Management System and link the corresponding Records Transmittal Indexes to the letter, as required by the procedure.

Overall, the surveillance team determined that the applicable requirements for activities performed at the WRA and CBFO RHF were satisfactorily implemented and effective.

Surveillance Team Leader: Cindi Castillo Date: 9/3/13  
Cindi Castillo

Assistant Manager/Office Director: N/A Date: \_\_\_\_\_

CBFO QA Director Approval: D. J. Mills Date: 9-3-13