



United States Government

Department of Energy

# memorandum

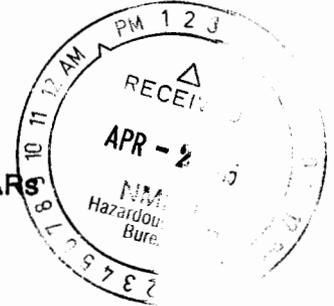
Carlsbad Field Office  
Carlsbad, New Mexico 88221

DATE: APR - 2 2015

REPLY TO  
ATTN OF: CBFO:QAD:MPN:RMS:15-0703:UFC 2300.00

SUBJECT: CBFO Surveillance S-15-15, On-Site Verification of Corrective Actions for CARs  
15-002 and 15-005 from Audit A-15-01

TO: Benjamine Roberts, DOE-ID



This memorandum serves as notification of the upcoming Carlsbad Field Office (CBFO) closure verification Surveillance S-15-15. The surveillance will be conducted May 5, 2015 through May 7, 2015, at the Advanced Mixed Waste Treatment Project (AMWTP) Energy Drive Facility (EDF) in Idaho Falls, Idaho.

The purpose of the on-site surveillance is to verify the effectiveness and completion of corrective actions taken in response to CAR 15-002 (related to an issue with the document control/periodic review process) and CAR 15-005 (related to an issue with AMWTP records management). Both CARs were identified during the recertification audit of AMWTP conducted October 7, 2014 through October 9, 2014.

The surveillance will be conducted in accordance with the attached plan. The surveillance team members are identified in the plan. Representatives from the New Mexico Environment Department may be present to observe the surveillance.

Your representatives are requested to coordinate with the surveillance team to develop the necessary documentation for the team to (1) gain access to the EDF; (2) conduct the surveillance; and (3) have appropriate access to necessary documentation and records. The surveillance team will also need hardcopies of closure documentation for each of the referenced CARs.

If you have any questions or comments concerning this surveillance, please contact me at (575) 234-7483.

A handwritten signature in black ink that reads "Martin P. Navarrete".

Martin P. Navarrete  
Senior Quality Assurance Specialist

Attachment



|                       |     |
|-----------------------|-----|
| cc: w/attachment      |     |
| M. Brown, CBFO        | *ED |
| J. R. Stroble, CBFO   | ED  |
| D. Miehl, CBFO        | ED  |
| N. Castaneda, CBFO    | ED  |
| J. Zimmerman, DOE-ID  | ED  |
| J. Wells, DOE-ID      | ED  |
| T. Jenkins, DOE-ID    | ED  |
| D. Haar, AMWTP        | ED  |
| G. Byram, AMWTP       | ED  |
| G. Tedford, AMWTP     | ED  |
| A. Morse, AMWTP       | ED  |
| T. Peake, EPA         | ED  |
| L. Bender, EPA        | ED  |
| E. Feltcorn, EPA      | ED  |
| R. Joglekar, EPA      | ED  |
| J. Kieling, NMED      | ED  |
| B. Tongate, NMED      | ED  |
| R. Maestas, NMED      | ED  |
| S. Holmes, NMED       | ED  |
| C. Smith, NMED        | ED  |
| V. Daub, CTAC         | ED  |
| R. Allen, CTAC        | ED  |
| P. Martinez, CTAC     | ED  |
| B. Pace, CTAC         | ED  |
| C. Castillo, CTAC     | ED  |
| K. Martin, CTAC       | ED  |
| H. Kirschenmann, CTAC | ED  |
| P. Hinojos, CTAC      | ED  |
| D. Sellmer, CTAC      | ED  |
| D. Harvill, CTAC      | ED  |
| G. White, CTAC        | ED  |
| Site Documents        | ED  |
| CBFO QA File          |     |
| CBFO M&RC             |     |

\*ED denotes electronic distribution

**CARLSBAD FIELD OFFICE  
SURVEILLANCE PLAN**

**Surveillance Number:** S-15-15

**Organization:** Advanced Mixed Waste Treatment Project (AMWTP)

**Date and Location of Surveillance:** May 5 – 7, 2015  
AMWTP Energy Drive Facility (EDF), Idaho Falls, Idaho

**Surveillance Team:**

|                     |  |
|---------------------|--|
| Martin P. Navarrete | Management Representative, Carlsbad Field Office (CBFO)                  |
| Cindi Castillo      | Surveillance Team Leader, CBFO<br>Technical Assistance Contractor (CTAC) |
| Katie Martin        | Team Member, CTAC  |
| Harley Kirschenmann | Team Member, CTAC  |

**Observers:** TBD

**Surveillance Scope:**

The on-site surveillance will verify the effectiveness and completion of corrective actions taken in response to Corrective Action Report (CAR) 15-002 [related to an issue with the document control/periodic review process] and CAR 15-005 [related to an issue with AMWTP records management]. Both CARs were identified during the recertification audit of AMWTP on October 7–9, 2014.

**Activities to be Assessed:**

- CAR 15-002 closure verification will include:
  - Review of all applicable closure documentation
  - Interviews with Document Control personnel
  - Complete procedural walk-down of revised procedure MP-DOCS-18.4, *Document Control*, to evaluate effective implementation
  - Review documentation and verify requirement updates made in the AMWTP Electronic Document Management System regarding the periodic review process
- CAR 15-005 closure verification will include:
  - Review of all applicable closure documentation
  - Interviews with AMWTP Records Management & Training Administration Records personnel
  - Review of records corrections (including training administration records)
  - Evaluation of random sampling of active records in multiple areas

*\* Hardcopies of closure documentation for both CARs must be provided during the surveillance.*

**Governing Documents/Requirements:**

- CBFO CARs 15-002 and 15-005 (including approved corrective action plan and closure documentation)
- CBFO Management Procedure (MP) 3.1, *Corrective Action Reports*

**Schedule of Surveillance Activities:**

The surveillance will be conducted May 5 – 7, 2015, at the AMWTP Energy Drive Facility (EDF) in Idaho Falls, Idaho. A pre-surveillance meeting is scheduled for 8:30 a.m. on Tuesday, May 5th, in EDF conference room 524.

If needed, management briefings will be held at 8:30 a.m., on Wednesday and Thursday in EDF conference room 524.

Team caucuses will be held at 3:00 p.m. on Tuesday, May 5th, and Wednesday, May 6th, and at 1:00 p.m. on Thursday, May 7th, in EDF conference room 524.

A post-surveillance meeting will be held at 2:30 p.m. on Thursday, May 7th, in EDF conference room 524.

The team space will be located in EDF conference room 524.

Prepared by: Cindi Castillo  
Cindi Castillo, CTAC  
Surveillance Team Leader

Date: 3/31/15

Concurrence by: Martin P. Navarrete  
Martin P. Navarrete, CBFO  
Senior Quality Assurance Specialist

Date: 4-2-15