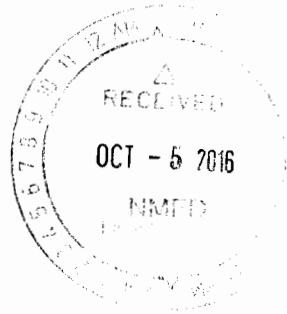




ENTERED

Department of Energy
Carlsbad Field Office
P. O. Box 3090
Carlsbad, New Mexico 88221
SEP 28 2016



Mr. John E. Kieling, Chief
Hazardous Waste Bureau
New Mexico Environment Department
2905 Rodeo Park Drive East, Building 1
Santa Fe, NM 87505-6303

Subject: Audit Plan and Notification of Assigned Auditors for CBFO Audit A-17-08
of the Argonne National Laboratory Central Characterization Program

Dear Mr. Kieling:

This letter transmits the audit plan for Carlsbad Field Office (CBFO) Recertification Audit A-17-08, Argonne National Laboratory (ANL) Central Characterization Program Transuranic Waste Characterization Activities for Remote-Handled Waste. The audit will be conducted as required by the Waste Isolation Pilot Plant Hazardous Waste Facility Permit, and will be held at the Skeen-Whitlock Building in Carlsbad, NM, and the ANL in Argonne, IL, November 1 – 3, 2016. The audit plan identifies the audit team members, as required by the Permit.

I certify under penalty of law that this document and all attachments were prepared under my direction or supervision according to a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fines and imprisonment for knowing violations.

Should you have any questions concerning this notification, please contact Martin Navarrete, Senior Quality Assurance Specialist, at (575) 234-7483.

Sincerely,

Todd Shrader, Manager
Carlsbad Field Office

Enclosure



cc: w/enclosure

S. Ross, EM-3.113	ED
S. Dunagan, CBFO	ED
D.C. Gadbury, CBFO	ED
M. Brown, CBFO	ED
J.R. Stroble, CBFO	ED
G. Basabilvazo, CBFO	ED
D. Miehl, CBFO	ED
M. Navarrete, CBFO	ED
G. Birge, CBFO	ED
N. Castaneda, CBFO	ED
T. Carver, CBFO	ED
R. Maestas, NMED	ED
C. Smith, NMED	ED
V. Daub, CTAC	ED
P. Martinez, CTAC	ED
C. Castillo, CTAC	ED
M. Leroch, CTAC	ED
K. Chester, CTAC	ED
D. Harvill, CTAC	ED
G. White, CTAC	ED
A. Urquidez, RES	ED

CBFO QA File

CBFO M&RC

*ED denotes electronic distribution

CARLSBAD FIELD OFFICE AUDIT PLAN

Audit Number: A-17-08

Organization to be Audited: Argonne National Laboratory (ANL), Nuclear Waste Partnership LLC (NWP) Central Characterization Program (CCP)

Organizations to be Notified: ANL
NWP CCP
New Mexico Environment Department (NMED)
U.S. Environmental Protection Agency (EPA)

Date and Location: November 1 – 3, 2016
Argonne, Illinois, and Carlsbad, New Mexico

Audit Team:

Martin Navarrete	Management Representative, Carlsbad Field Office (CBFO) Office of Quality Assurance (QA)
Katie Chester	Audit Team Leader, CBFO Technical Assistance Contractor (CTAC)
Rick Castillo*	Auditor, CTAC (QA)
Cindi Castillo	Auditor, CTAC (Program Status)
Charlie Riggs*	Auditor, CTAC (AK)
Jim Schuetz	Auditor, CTAC (VE)
B.J. Verret	Auditor, CTAC (DTC & DM)
Ricardo Chavez*	Auditor-in-Training, CTAC (AK)
Dick Blauvelt**	Technical Specialist, CTAC (AK)
Randy Fitzgerald*	Technical Specialist, CTAC (AK)
Jim Vernon*	Technical Specialist, CTAC (Project Level V&V)
Rhett Bradford	Technical Specialist, CTAC (VE)
Jim Oliver	Technical Specialist, CTAC (DTC & DM)

*Personnel auditing in Carlsbad, NM
**Personnel auditing per teleconference

Audit Scope:

The audit team will evaluate the continued adequacy, implementation, and effectiveness of the ANL/CCP waste characterization processes for remote-handled Summary Category Group S5000 debris waste. The audit team will also evaluate the ANL/CCP program to determine compliance with both technical and quality assurance (QA) requirements.

A list of the equipment and processes to be evaluated is attached to this plan (Attachment 1).

Activities to be Audited:

General

- Results of Previous Audits
- Changes in Programs or Operations
- New Programs or Activities Being Implemented
- Changes in Key Personnel

Quality Assurance Activities – Carlsbad, NM

The following QA elements will be evaluated for compliance with the Waste Isolation Pilot Plant (WIPP) Hazardous Waste Facility Permit (HWFP), utilizing checklists C6-1 and C6-2:

- Personnel Qualification and Training
- Records
- Quality Improvement/Nonconformances

Technical Activities – ANL and Carlsbad, NM

The following technical elements will be evaluated for compliance with the WIPP HWFP, utilizing checklists C6-1 through C6-4 and/or procedural checklists, as applicable:

- Acceptable Knowledge (AK), including waste certification (i.e., Waste Stream Profile Forms)
- Project-Level Data Validation and Verification (V&V)
- Visual Examination (VE)
- Dose-to-Curie (DTC)
- Dimensional Measurement (DM)
- WIPP Waste Information System (WWIS)/Waste Data System (WDS)

Governing Documents/Requirements

Adequacy of ANL/CCP documents will be based on the current revisions of the following documents:

- Waste Isolation Pilot Plant Hazardous Waste Facility Permit NM4890139088-TSDF
- DOE/CBFO-94-1012, *Quality Assurance Program Document*
- DOE/WIPP-02-3122, *Transuranic Waste Acceptance Criteria for the Waste Isolation Pilot Plant*
- DOE/WIPP-02-3214, *Remote-Handled TRU Waste Characterization Program Implementation Plan*

Programmatic and technical checklists will be developed from the active revisions of the following documents:

- CCP-PO-001, *CCP Transuranic Waste Characterization Quality Assurance Project Plan*
- CCP-PO-002, *CCP Transuranic Waste Certification Plan*
- CCP-PO-500, *CCP/ANL RH-TRU Waste Interface Document*
- Related ANL/CCP and NWP QA and technical implementing procedures

Schedule of Audit Activities:

A pre-audit conference is scheduled for 9:00 a.m. CST on Tuesday, November 1, 2016.

Audit team caucuses will be held at 3:30 p.m. CST on Tuesday and Wednesday, November 1 and 2, 2016, and at 11:00 a.m. CST on Thursday, November 3, 2016.

Daily management briefings will be held at 8:30 a.m. CST on Wednesday and Thursday, November 2 and 3, 2016.

A post-audit conference is scheduled for 12:00 p.m. CST on Thursday, November 3, 2016.

All meeting locations will be identified on the daily audit schedule.

Prepared by: Katie Chester Date: 9/27/2016
Katie Chester, CTAC
Audit Team Leader

Concurrence: Michael R. Brown Date: 9/27/2016
Michael R. Brown, Director
CBFO Office of Quality Assurance

Processes and Equipment to Be Evaluated During Audit A-17-08 of the ANL/CCP

WIPP #	Process/Equipment Description	Applicable to the Following Summary Category Groups	Currently Approved by NMED	Currently Approved by EPA
PREVIOUSLY APPROVED PROCESSES OR EQUIPMENT				
The following will be reevaluated during CBFO Audit A-17-08				
8RHVE1	Visual Examination CCP-TP-500, CCP Remote-Handled Waste Visual Examination CCP-TP-163, CCP Evaluation of Waste Packaging Records for Visual Examination of Records	Debris (S5000)	YES	YES (Records only)
8RHVE2	Visual Examination of Newly Packaged RH Waste Drums CCP-TP-500, CCP Remote-Handled Waste Visual Examination	Debris (S5000)	YES	YES
N/A	Acceptable Knowledge CCP-TP-005, CCP Acceptable Knowledge Documentation	Debris (S5000)	YES	YES
N/A	Data Verification and Validation CCP-TP-001, CCP Project Level Data Validation and Verification CCP-TP-500, CCP Remote-Handled Waste Visual Examination CCP-TP-504, CCP Dose-to-Curie Survey Procedure for Remote-Handled Transuranic Waste	Debris (S5000)	YES	YES
8DTC1	Dose-to-Curie CCP-TP-504, CCP Dose-to-Curie Survey Procedure for Remote-Handled Transuranic Waste	Debris (S5000)	N/A	YES
8RHGM1	Dimensional Measurement CCP-TP-513, CCP Procedure for Dimensional or Gravimetric Measurements for Radiological Characterization of Remote-Handled Transuranic Waste	Debris (S5000)	N/A	YES
N/A	Quality Assurance	N/A	N/A	YES
N/A	WIPP Waste Information System (WWIS)/Waste Data System (WDS)	NA	YES	YES