

United States Government

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Department of Energy

memorandumCarlsbad Field Office
Carlsbad, New Mexico 88221

DATE: JUL 05 2017
REPLY TO
ATTN OF: CBFO:OQA:MPN:BA:17-1954:UFC 2300.00
SUBJECT: Audit Plan for Recertification Audit A-17-25, ANL/CCP Transuranic Waste
Characterization Activities for Remote-Handled Waste
TO: Mr. Dan Misch, DOE-CH



Please be advised that an audit team from the Carlsbad Field Office (CBFO) will conduct the subject audit at the Argonne National Laboratory (ANL) in Argonne, IL, and the Central Characterization Program (CCP) facilities at the Skeen-Whitlock Building in Carlsbad, NM, August 15 – 17, 2017. The audit will be conducted in accordance with the attached audit plan. Representatives from the New Mexico Environment Department may be present to observe the audit.

Your representatives are requested to coordinate with the audit team and provide the team access to ANL waste characterization facilities; provide a meeting room (with a projector and speakerphone) to accommodate approximately 30 people for the entrance and exit meetings at both locations; provide working rooms for the team at both locations; assign cognizant personnel to support the audit; and facilitate access to the appropriate documentation and records at both locations.

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



Martin P. Navarrete
Senior Quality Assurance Specialist

Attachment

170702



Mr. Dan Misch

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JUL 05 2017

cc: w/attachment

S. Ross, EM-3.113	*ED
J. Carswell, CBFO	ED
M. Brown, CBFO	ED
J. R. Stroble, CBFO	ED
D. Miehl, CBFO	ED
M. Stapleton, CBFO	ED
M. Fineran, CBFO	ED
G. Birge, CBFO	ED
N. Castaneda, CBFO	ED
T. Carver, CBFO	ED
R. Purucker, DOE-CH	ED
K. Joshi, DOE-CH	ED
B. Covert, NWP	ED
J. Britain, NWP	ED
M. Percy, NWP	ED
R. Lee, NWP	ED
R. Reeves, NWP	ED
A.J. Fisher, NWP	ED
B. Pace, NWP	ED
C. Simmons, NWP	ED
J. Harvill, NWP	ED
J. Carter, NWP	ED
M. McDaniel, NWP	ED
V. Ballew, NWP	ED
S. Punchios, NWP	ED
A. Boyea, NWP	ED
J. Walsh, EPA	ED
J. Ellis, EPA	ED
T. Peake, EPA	ED
E. Feltcorn, EPA	ED
R. Joglekar, EPA	ED
J. Kieling, NMED	ED
R. Maestas, NMED	ED
D. Biswell, NMED	ED
T. Runyon, CTAC	ED
P. Martinez, CTAC	ED
C. Castillo, CTAC	ED
M. Lerach, CTAC	ED
K. Chester, CTAC	ED
D. Harvill, CTAC	ED
G. White, CTAC	ED
Site Documents	ED

CBFO QA File

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*ED denotes electronic distribution

CARLSBAD FIELD OFFICE AUDIT PLAN

Audit Number: A-17-25

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)
Defense Nuclear Facilities Safety Board
U.S. Environmental Protection Agency (EPA)

Date and Location: August 15 – 17, 2017
Argonne, IL, and Carlsbad, NM

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 (C6 QA)
John Fernandez	Auditor, CTAC (VE)
Cindi Castillo	Auditor, CTAC (Program Status & Interface Agreement)
Ricardo Chavez	Auditor, CTAC (AK)
Matt Leroch	Auditor, CTAC (DTC & DM)
Randy Fitzgerald	Technical Specialist, CTAC (AK)
Richard Blauvelt**	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)
Dustin Stegman	Technical Specialist-in-Training, CTAC (VE)

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

Audit Scope:

The audit team will evaluate the continued adequacy, implementation, and effectiveness of the technical and quality assurance (QA) activities performed by NWP/CCP at ANL for characterization of remote-handled (RH) Summary Category Group (SGC) S5000 debris waste. The audit team will also verify that a technical review of the generator site's processes has been performed and that any issues identified during the technical review have been resolved per DOE/WIPP-16-3564, *Generator Site Technical Review Procedure*.

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

Governing Documents/Requirements

Evaluation of the overall program adequacy, implementation, and effectiveness of ANL/CCP documents will be based on the current revisions of the following documents:

- *Quality Assurance Program Document, DOE/CBFO-94-1012*
- *Waste Isolation Pilot Plant Hazardous Waste Facility Permit NM4890139088-TSDF*
- *Transuranic Waste Acceptance Criteria for the Waste Isolation Pilot Plant, DOE/WIPP-02-3122*
- *Remote-Handled TRU Waste Characterization Program Implementation Plan, DOE/WIPP-02-3214*
- *Waste Isolation Pilot Plant Documented Safety Analysis, DOE/WIPP-07-3372 (Chapter 18)*

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

- *CCP Transuranic Waste Characterization Quality Assurance Project Plan, CCP-PO-001*
- *CCP Transuranic Waste Certification Plan, CCP-PO-002*
- *CCP/ANL RH-TRU Waste Interface Document, CCP-PO-500*
- *CCP Interface Document Preparation, CCP-PO-043*
- *Related CCP QA and technical implementing procedures*

Activities to be Audited:

General

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

C6-1 through C6-4 and general QA program elements as applicable

- Personnel Qualification and Training
- Records
- Quality Improvement/Nonconformances
- Measuring and Test Equipment (M&TE)
- Software Version Installation

Technical Activities – ANL and Carlsbad, NM

- Acceptable Knowledge (AK), including waste certification
 - Including, but not limited to, Enhanced Chemical Compatibility Evaluation Memorandum, Basis of Knowledge, AK Assessments, AK Briefings, Interface Waste Management Documents List
- 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)
 - Including, but not limited to, Statistical Approach to Material at Risk

Schedule of Audit Activities:

A pre-audit conference is scheduled for 9:00 a.m. CDT on Tuesday, August 15, 2017.

Audit team caucuses will be held at 3:30 p.m. CDT on Tuesday and Wednesday, August 15 and 16, 2017, and at 11:00 a.m. CDT on Thursday, August 17, 2017.

Daily management briefings will be held at 8:30 a.m. CDT on Wednesday and Thursday, August 16 and 17, 2017, as needed.

A post-audit conference is scheduled for 12:00 p.m. CDT on Thursday, August 17, 2017.

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

Prepared by: Katie Chester Date: 6-28-17
Katie Chester, CTAC
Audit Team Leader

Concurrence: Michael R. Brown Date: 6/29/2017
Michael R. Brown, Director
CBFO Office of Quality Assurance

Processes and Equipment to Be Evaluated During Audit A-17-25 of the ANL/CCP

WDS METHOD ID#	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-17-25				
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
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	Enhanced Acceptable Knowledge	Debris (S5000)	TBD	TBD
N/A	Certified Program Enhanced Chemical Compatibility Evaluation	Debris (S5000)	TBD	TBD
N/A	Basis of Knowledge Evaluating Oxidizing Chemicals in TRU Waste	Debris (S5000)	TBD	TBD
N/A	Certified Program Acceptable Knowledge Assessments	Debris (S5000)	TBD	TBD
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	Debris (S5000)	YES	YES

Processes and Equipment to Be Evaluated During Audit A-17-25 of the ANL/CCP

WDS METHOD ID#	Process/Equipment Description	Applicable to the Following Summary Category Groups	Currently Approved by NMED	Currently Approved by EPA
	Remote-Handled Transuranic Waste			
N/A	Quality Assurance	N/A	N/A	YES
N/A	WIPP Waste Information System (WWIS)/Waste Data System (WDS)	N/A	YES	YES