

United States Government

Department of Energy

# memorandum

Carlsbad Area Office  
Carlsbad, New Mexico 88221

DATE: May 13, 1997

REPLY TO  
ATTN OF: CAO:NTP:RAS 97-1116 UFC 2300

SUBJECT: Audit (A-97-03) of Rocky Flats Environmental Technology Site (RFETS) Characterization and Certification Programs

TO: Keith Klein, Deputy Manager, Technical Programs, RFFO

Please be advised that a team of auditors and technical specialists from the Carlsbad Area Office will conduct an audit at RFETS on June 2-6, 1997. The audit will be conducted in accordance with the attached audit plan.

Your representatives are requested to coordinate with the audit team to develop the necessary documentation for the audit team to gain access to RFETS facilities, arrange for appropriate space to conduct meetings, provide cognizant personnel to support the audit, and provide the audit team with access to appropriate documentation and records.

If you have any questions or comments concerning the audit, please contact Butch Stroud, NTP Certification Manager, at 505-234-7483, or Dennis Brown, QA Manager, at 505-234-7484.



E. Kent Hunter

Assistant Manager

Office of National TRU Waste Operations

## Attachment

cc w/attachment:

G. Dials, CAO

D. Brown, CAO

B. Stroud, CAO

D. Watkins, CAO

D. Winters, DNFSB

B. Walker, EEG

M. Eagle, EPA

**S. Zappe, NMED**

A. Flewelling, RFETS

G. O'Leary, RFETS

M. Horseman, CTAC

J. Ziemba, CTAC

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### CARLSBAD AREA OFFICE AUDIT PLAN

**Audit Number:** A-97-03

**Organization:** Rocky Flats Environmental Technology Site (RFETS)

**Date:** June 2-6, 1997

**Location:** Golden, Colorado

**Audit Team:**

R. Dennis Brown	CAO QA Manager, Audit Team Leader
Butch Stroud	CAO Certification Manager, Technical Specialist
Marlin Horseman	Audit Coordinator, Auditor, CTAC
Sam Vega	Auditor, CAO
Beth Bennington	Auditor, CAO
Ava Holland	Auditor, CTAC
Pete Rodriguez	Auditor, CTAC
Amy Arceo	Auditor, CTAC
Cindy Zvonar	Technical Specialist, CAO
Mark Doherty	Technical Specialist, CTAC
Sid Ailes	Auditor and Technical Specialist, CTAC
Laurie Sparks	Technical Specialist, WID
Clint Kelly	Technical Specialist, WID
Bill Weston	Technical Specialist, WID
Van Bynum	Technical Specialist, SAIC

**Audit Scope:** The audit will evaluate the adequacy, implementation, and effectiveness of the technical and quality assurance activities as related to the RFETS Transuranic (TRU) Waste Characterization, Transportation, and Certification Programs.

**Activities/Tasks to be Audited:**

The following CAO Quality Assurance (QAPD) elements will be evaluated:

- Organization
- QA Program Implementation
- Personnel Qualification and Training
- Quality Improvement
- Documents and Records
- Work Processes
- Procurement

Inspection and Testing  
Measuring and Test Equipment  
Assessments  
Sample Control  
Data Documentation, Control, and Validation  
Software Requirements

The following CAO Characterization (QAPP) technical elements will be evaluated:

Acceptable Knowledge  
Sampling Analysis Plan  
Sampling - Head Space Gas  
Testing - NDA, RTR  
Visual Examination  
Analysis - Head Space Gas  
Data Validation, Usability, and Reporting  
Performance Demonstration Program (PDP)

The following CAO Transportation (TRAMPAC) technical elements will be evaluated:

Inspection of Packaging  
Preparation and Loading  
Shipping  
Package Maintenance  
Documentation and Records

The following CAO Certification (WAC) technical elements will be evaluated:

Waste Stream Profile Data  
Software (WIPP Waste Information System, analysis software, and others)

Corrective actions and status of the following corrective action reports (CARs) from CAO Audit A-95-06 will be evaluated:

CARs 96-002, 96-005, 96-006, 96-009, 96-010, 96-011, 96-012, and 96-013 from Audit A-95-06.

**Governing Documents/Requirements:**

The adequacy evaluations of RFETS implementing procedures will be based on the current revisions of the following documents:

CAO Quality Assurance Program Document, CAO-94-1012

CAO Transuranic Waste Characterization Quality Assurance Program Plan, CAO-97-1010

Safety Analysis Report for TRUPACT-II Shipping Package Appendix 1.3.7, TRAMPAC and the TRUPACT-II Certification of Compliance, NRC 71-9218, Revision 7.

Waste Acceptance Criteria for the Waste Isolation Pilot Plant, DOE/WIPP-069

The quality assurance and technical checklists will be developed from the current revisions of the following documents:

RFETS Transuranic Waste Quality Assurance Project Plan, 95-QAPjP-0050

RFETS TRU Waste Management Manual, 3-MAN-008-WM-001

Related RFETS technical and quality assurance implementing procedures

**Schedule of Audit Activities:**

The pre-audit conference is scheduled for Monday, June 2, at 8:30 a.m. at the assigned RFETS conference room.

An audit team caucus will be held at 4:00 p.m. Monday through Thursday in the assigned RFETS conference room.

The audit team leader will meet with RFETS management at 8:30 a.m. Tuesday through Friday at the assigned location.

The post-audit conference is scheduled for Friday, June 6, at 2:00 p.m. at the assigned RFETS conference room.

Prepared By: R. Dennis Brown  
R. Dennis Brown, Audit Team Leader

Date: 5/9/97

Approved By: Butch Stroud  
Butch Stroud, CAO Certification Manager

Date: 5/9/97