

United States Government

Department of Energy

# memorandum

Carlsbad Area Office  
Carlsbad, New Mexico 88221

**DATE:** September 2, 1997

**REPLY TO  
ATTN OF:** CAO:ONTWO:EKH 97-1788 [UFC 2300]

**SUBJECT:** Audit (A-97-16) of Los Alamos National Laboratory (LANL) Characterization and Certification Programs

**TO:** Bruce Le Brun, Radioactive Waste Manager, LAAO

Please be advised that a team of auditors from the Carlsbad Area Office will conduct an audit at Los Alamos National Laboratory (LANL) in Los Alamos, New Mexico, on September 10-12, 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 team to gain access to LANL facilities, arrange for appropriate space to conduct meetings, provide cognizant personnel to support the audit, and provide the audit team with access to appropriate current 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, CAO QA Manager, at (505)234-7484.

E. Kent Hunter, Assistant Manager  
Office of National TRU Waste Operations

## Attachment

cc w/attachment:  
D. Watkins, CAO  
B. Stroud, CAO  
D. Brown, CAO  
CAO QA File  
I. Triay, LANL  
M. Gavett, LANL  
P. Rogers, LANL  
S. Zappe, NMED  
C. Wentz, NMEM&NR  
B. Walker, EEG  
M. Eagle, EPA  
K. Rogers, EPA  
D. Winters, DNFSB  
B. Paedon, CTAC



## CARLSBAD AREA OFFICE AUDIT PLAN

**Audit Number:** A-97-16

**Organization:** Los Alamos National Laboratory

**Date:** September 10-12, 1997

**Location:** Los Alamos, New Mexico

**Audit Team:**

R. Dennis Brown	CAO QA Manager, Audit Team Leader
Robert Paedon	Audit Coordinator, Auditor, CTAC
Steve Calvert	Auditor, CTAC
Sid Ailes	Auditor/Technical Specialist, CTAC
Mike Brown	Technical Specialist, CAO
Butch Stroud	Technical Specialist, CAO
Jim Bresson	Technical Specialist, CTAC
Vann Bynum	Technical Specialist, CTAC
Bill Weston	Observer, WID

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

### Activities/Tasks to be Audited:

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

- QA Program Implementation
- Documents and Records
- Work Processes
- Testing
- Data Documentation, Control, and Validation
- Software Requirements

The following CAO Quality Assurance Program Plan (QAPP) characterization elements will be evaluated:

- Acceptable Knowledge
- Testing - NDA
- Data Validation, Usability, and Reporting

The following CAO Waste Acceptance Criteria (WAC) certification elements will be evaluated:

Waste Stream Profile Data  
WIPP Waste Information System Data

Corrective actions and status of the following corrective action reports (CARs) from CAO Audits A-97-01 and A-97-07 will be evaluated:

CAR 97-050  
CARs 97-113 through 97-117

**Governing Documents/Requirements:**

The adequacy evaluations of LANL 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

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

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

LANL Transuranic Waste Quality Assurance Project Plan, CSTDO-PLAN-002

Related LANL technical and quality assurance implementing procedures

CAO Corrective Action Reports (CARs) 97-050 and 97-113 through 97-117 from Audit A-97-07

**Schedule of Audit Activities:**

The pre-audit conference is scheduled for the afternoon of Wednesday, September 10, at LANL TA 50 Building 37, 1<sup>st</sup> floor conference room.

Prepared By R. Dennis Brown Date: 8/29/97  
R. Dennis Brown, Audit Team Leader

Approved By Butch Stroud Date: 9/2/97  
Butch Stroud, CAO Certification Manager

Approved By: R. Dennis Brown Date: 9/29/97  
R. Dennis Brown, QA Manager