


United States Government


 Department of Energy

memorandum


 Carlsbad Area Office
 Carlsbad, New Mexico 88221

DATE: January 14, 1998
**REPLY TO
ATTN OF:** CAO:NTP:RAS 98-0604 UFC 2300
SUBJECT: Audit (A-98-04) of Rocky Flats Environmental Technology Site (RFETS) Characterization, Certification, and Transportation Programs
TO: Keith Klein, RFFO

Please be advised that a team of auditors and technical specialists from the Carlsbad Area Office will conduct an audit at RFETS on February 9-13, 1998. 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 this audit, please contact Butch Stroud at (505) 234-7483, or Dennis Brown at (505) 234-7484.


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

Attachment

cc w/attachment:
 D. Brown, CAO
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 CAO QA File



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CARLSBAD AREA OFFICE AUDIT PLAN

Audit Number: A-98-04

Organization: Rocky Flats Environmental Technology Site (RFETS)

Date and February 9-13, 1998

Location: Golden, Colorado

Audit Team:

Marlin Horseman	Audit Team Leader, CTAC
Sam Vega	Auditor, CAO
Cindy Zvonar	Technical Specialist, CAO
Amy Arceo	Auditor, CTAC
Ava Holland	Auditor/Technical Specialist, CTAC
Pete Rodriguez	Auditor, CTAC
Norman Frank	Auditor, CTAC
Butch Stroud	CAO Audit Manager
Vann Bynum	Technical Specialist, CTAC
Mark Doherty	Technical Specialist, CTAC
Ken Coop	Technical Specialist, CTAC
William Weston	Technical Specialist, WID
Clint Kelly	Technical Specialist, WID

Audit Scope: The audit will evaluate the adequacy, implementation, and effectiveness of technical and quality assurance processes related to the RFETS TRU Waste Characterization and Certification activities.

Governing Documents/Requirements:

Adequacy evaluations of new and revised RFETS site and TWCP specific documents will be based on the current revisions of the following documents:

CAO Quality Assurance Program Document, CAO-94-1012

Transuranic Waste Characterization Quality Assurance Program Plan, CAO-94-1010

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

Activities to be Audited:

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

- Organization
- QA Program Implementation
- Personnel Qualification and Training
- Quality Improvement
- Documents and Records
- Work Processes
- Procurement
- Measuring and Test Equipment
- Assessments
- Sample Control
- Data Documentation, Control, and Validation
- Software Requirements
- QA Grading

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

- 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 activities will be evaluated:

- Inspection of Packaging
- Visual
- Preparation and Loading
- Leak Check
- Shipping (Process and the WEMS Shipping Module)
- Package Maintenance
- Documentation and Records
- Payload and Drum Certification
- TRANSCOM

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

- Software (WIPP Waste Information System, analysis software, and others)

Corrective actions and status of the following corrective action reports (CARs) from CAO Audits A-95-06, A-97-03, and A-98-06 will be evaluated:

CARs 96-009, 96-012, 96-013, 97-085, 97-086, 97-087, 97-088, 97-091, 97-092, 97-095, 97-100, and 98-009

Technical and Quality Assurance checklists will be developed from the active revision of the following documents:

RFETS Quality Assurance Project Plan (QAPjP) for the Transuranic Waste Characterization Program, 95-QAPjP-0050

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

Related RFETS technical and quality assurance implementing procedures

Open CAO Corrective Action Reports and observations from Audits A-95-06, A-97-03, and A-98-06

Schedule of Audit Activities:

A pre-audit conference is scheduled for Monday February 9, at 8:30 a.m.

An Audit team caucus will be held at 4:00 p.m. Tuesday through Thursday.

The audit team will meet with the appropriate RFETS management at 8:30 a.m. each morning (Tuesday through Friday).

A post-audit conference is scheduled for Friday, February 13, at 11:00 a.m. at the designated RFETS location in Golden, Colorado.

Prepared By: Marlin Horseman Date: 1/13/98
Marlin Horseman, Audit Team Leader

Approved By: Butch Stroud Date: 1/14/98
for Butch Stroud, CAO Waste Certification Manager

Approved By: R. Dennis Brown Date: 1/14/98
R. Dennis Brown, CAO QA Manager