

United States Government

Department of Energy
Carlsbad Area Office

memorandum

DATE: February 10, 2000

REPLY TO
ATTN OF: CAO:QA:SAV:00-0234 UFC 2300

SUBJECT: CAO Audit Report A-00-08, Rocky Flats Environmental Technology Site (RFETS)
Characterization of Retrievably Stored Debris Waste


TO: Joseph Legare, Assistant Manager for Environment and Compliance

The Carlsbad Area Office (CAO) conducted an audit of the Rocky Flats Environmental Technology Site (RFETS) retrievably stored debris waste from Summary Category Group S5000. The audit was conducted in two phases; Phase 1 December 13-17, 1999 and Phase 2 January 18-20, 2000. The audit team concluded that the RFETS technical and quality assurance programs for these activities were adequate in accordance with the WIPP Hazardous Waste Facility Permit and the CAO QAPD. The audit team also concluded that the RFETS procedures were being satisfactorily implemented and the evaluated processes were effective.

As a result of Phase 1 of the audit, three (3) CAO Corrective Action Reports (CARs) were forwarded under separate cover. The Corrective Actions for these CARs were verified complete during Phase 2 of the audit and the CARs were subsequently closed.

Four (4) Observations and two (2) Recommendations were identified during the audit. Neither the Observations nor the Recommendations require a response.

If you have any questions or comments, please contact me at (505) 234-7423.


for Samuel A. Vega
Quality Assurance Manager

Attachment

000212



Joseph Legare

-2-

cc w/attachments:

L. Chism, CAO

B. Stroud, CAO

S. Vega, CAO

J. Jefferies, RFFO

M. Eagle, EPA

S. Monroe, EPA

S. Zappe, NMED

B. Walker, EEG

D. Winters, DNFSB

M. Castagneri, RFETS

J. O'Leary, RFETS

T. Bowden, CTAC

C. Riggs, CTAC

S. Kouba, WID

W. Most, WID

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U.S. DEPARTMENT OF ENERGY
CARLSBAD AREA OFFICE

FINAL AUDIT REPORT

OF THE

ROCKY FLATS ENVIRONMENTAL TECHNOLOGY SITE

GOLDEN, COLORADO

AUDIT NUMBER A-00-08

December 13-17, 1999

and

January 18-20, 2000

FINAL AUDIT REPORT OF WASTE CHARACTERIZATION IN
ACCORDANCE WITH THE HAZARDOUS WASTE FACILITY PERMIT



Prepared By: Charles L. Riggs
Charles L. Riggs
Audit Team Leader

Date: 1/27/00

Approved By: for Samuel A. Vega
for Samuel A. Vega
CAO QA Manager

Date: 1/27/00

1.0 EXECUTIVE SUMMARY

Carlsbad Area Office (CAO) Audit A-00-08 was conducted to evaluate the adequacy, implementation, and effectiveness of the Rocky Flats Environmental Technology Site (RFETS) transuranic (TRU) waste characterization activities for debris waste relative to the requirements detailed in the Waste Isolation Pilot Plant (WIPP) Hazardous Waste Facility Permit, and the CAO Quality Assurance Program Document (QAPD).

The scope of the audit included Summary Category Group S5000 debris waste. In particular, a retrievably stored waste stream from Waste Matrix Code Group "Uncategorized Metal" was audited.

The audit was conducted at the RFETS facility in two phases: Phase 1 December 13-17, 1999, and Phase 2 January 18-20, 2000. The audit team concluded that the adequacy of the RFETS technical and Quality Assurance (QA) programs, as applicable to audited activities, was satisfactory in meeting requirements. The deficiencies identified in the corrective action reports (CARs) discussed below have been corrected. The audit team also concluded that the defined QA and technical programs for these activities were being implemented in accordance with the RFETS Quality Assurance Project Plan (QAPjP) and its implementing procedures and that the processes were effective.

The audit team identified 16 conditions adverse to quality, resulting in the issuance of three CARs that required corrective action in the areas of data validation, documentation of personnel qualification, and the failure to follow procedures. Fifteen deficiencies, isolated in nature and requiring only remedial corrective actions, were corrected during the audit (CDA). Four Observations and two Recommendations were also identified. The CARs, Observations, and Recommendations are described in Section 6.0.

2.0 SCOPE AND PURPOSE

2.1 Scope

The audit team evaluated the adequacy, implementation, and effectiveness of the RFETS TRU waste characterization processes for retrievably stored waste.

The following elements were evaluated:

Quality

Nonconformance/Corrective Action

Personnel Qualification and Training
Documents and Records
Sample Control

Technical

Acceptable Knowledge (AK)
Headspace Gas Sampling and Analysis
Real-Time Radiography (RTR)
Visual Examination (VE)
Data Generator Level Verification and Validation
Project Level Verification and Validation and WWIS Data Entry

The evaluation of RFETS TRU waste activities and documents was based on current revisions of the following documents:

Waste Isolation Pilot Plant Hazardous Waste Facility Permit, October 27, 1999.

CAO Quality Assurance Program Document, CAO-94-1012, Revision 3,
November 1999

RFETS Quality Assurance Project Plan for the Transuranic Waste Characterization Program, 95-QAPjP-0050, revision 4, November 17, 1999

RFETS Transuranic Waste Management Manual, 1-MAN-008-WM-001,
revision 3, November 17, 1999

Related RFETS technical and quality assurance implementing procedures

2.2 Purpose

Audit A-00-08 was conducted to assess the compliance of RFETS retrievably stored debris waste characterization activities.

3.0 AUDIT TEAM AND OBSERVERS

AUDITORS/TECHNICAL SPECIALISTS

Sam Vega	Quality Assurance Manager, CAO
Charlie Riggs	Audit Team Leader, CTAC
Jack Walsh	Auditor, CTAC
Steve Davis	Auditor, CTAC
Wayne Ledford	Auditor, CTAC
Dee Scott	Auditor, CTAC
Karen Day	Technical Specialist, CTAC

Karen Gaydosh	Technical Specialist, CTAC
Mark Doherty	Technical Specialist, CTAC
William Verret	Technical Specialist, CTAC
Dick Blauvelt	Technical Specialist, CTAC
Trey Greenwood	Technical Specialist, CTAC

OBSERVERS

Steve Zappe	New Mexico Environment Department
Connie Walker	TechLaw Inc.
William Fear	TechLaw Inc.
Robert Thielke	TechLaw Inc.
Gregory Starkebaum	TechLaw Inc.
Patricia Shanley	TechLaw Inc.
Ben Walker	Environmental Evaluation Group

4.0 AUDIT PARTICIPANTS

RFETS individuals contacted during the audit process are identified in Attachments 1 and 2. A pre-audit meeting was held at RFETS Building 460 Cafeteria on December 13, 1999. An interim status meeting for Phase 1 of the audit was held in RFETS Building 460 Cafeteria on December 17, 1999. Phase 2 of the audit started with a kickoff meeting held in RFETS Building 111 on January 18, 2000. During both phases of the audit, a daily meeting was held with RFETS management and staff to discuss the previous day's issues and potential deficiencies. The audit was concluded with a post-audit meeting held at RFETS Building 60 on January 20, 2000.

5.0 SUMMARY OF AUDIT RESULTS

5.1 Program Adequacy and Implementation

The audit team concluded that the applicable RFETS TRU waste characterization activities, as described in the associated RFETS implementing procedures, satisfactorily meet requirements. Audit activities, including objective evidence reviewed, are described below and in CAO checklists and/or Objective Evidence Reviewed forms maintained as QA records. Attachment 4 contains a list of RFETS procedures that were included in the audit.

5.2 Quality Activities

The audit team examined Quality Activities in the following areas: Nonconformances, Personnel Qualification and Training, Documents and Records, and Sample Control.

Sample Control was examined as part of the Headspace Gas evaluation. There were two concerns identified by the audit team, 1) the security classification review had not

been performed on one procedure, and 2) two nonconformance reports had been issued on an outdated form.

Overall, the Quality Activities were found to be adequate, satisfactorily implemented, and effective.

5.3 Technical Activities

The following sections describe the technical activities reviewed during the audit.

5.3.1 Acceptable Knowledge

The audit team determined that the Acceptable Knowledge (AK) process includes provisions to identify information that conflicts with what is expected in a waste stream and a method by which conflicts can be resolved.

RFETS has an extensive process for collecting waste characterization information. Each waste-generating process in every building is described in detail. All material inputs to a process are listed, the outgoing products are identified, and the wastes generated are discussed in detail. RFETS provides for a comprehensive segregation of waste into discrete waste streams. They have a readily accessible store of documentation to allow the site to investigate waste generation processes for all of the waste streams RFETS expects to eventually certify for disposal at WIPP. These waste management practices have made AK collection and documentation at RFETS a straightforward effort.

The audit team evaluated reports and records used to document the basis of RFETS AK. The reports were found to be satisfactory and the records properly maintained as QA records. Acceptable knowledge and the auditable record were reviewed in detail for a Summary Category Group S5000 waste stream of metal debris. The AK record for two drums (D95797 and D73772) was traced to demonstrate that the required information was present and correctly interpreted.

RFETS was found to be satisfactorily using sampling and analysis data to confirm the waste characterization designations made using AK. RFETS has an adequate process in place to resolve discrepancies and document changes.

Overall, AK was found to be adequate, satisfactorily implemented, and effective.

5.3.2 Headspace Gas

The audit team observed Headspace gas sampling and analysis operations at RFETS during actual sample collection and analysis of SUMMA® canister samples. Batch data

reports were reviewed to evaluate sampling and analysis results against WAP requirements. Documentation specific to these activities, e.g., calibration records, maintenance logbooks, and instrument logbooks, were reviewed to ensure that laboratory operations meet requirements.

The processes used to clean, leak check, and maintain sampling equipment were evaluated and found to adequately meet WAP requirements.

The audit team had concerns in the following areas: One of the procedures in the sample cleaning area's procedures book did not contain the latest revision; a torque wrench with the wrong calibration range was used; the position description for a file coordinator was inaccurate.

Observations were made regarding a gas cylinder with conflicting labels, and the depth of detail of the evaluation and review of Target Compound identity (see Observations 1 and 2).

Overall, Headspace Gas Sampling (HSG) Analysis was found to be adequate, satisfactorily implemented, and effective.

5.3.3 Radiography

The audit team observed operations in Building 664 and reviewed data packages from Buildings 664 and 569.

Six concerns were identified: real-time radiography (RTR) operators were not trained in weight and volume estimation in the on-the-job training (OJT) administered by RFETS; copies of the vision examination documentation for RTR operators had not been forwarded to WIPP records; the RTR operator did not attempt to positively identify all items in the waste package; minor revisions to RTR and Visual Examination (VE) validation checklist and summary were needed to ensure that checklist items are consistent with the requirements of the operating procedures; RTR OJT was being conducted by a Level III RTR operator; and the person making the independent observation was not signing as "Independent Observer." All six concerns were corrected during the audit.

The audit team recommends expansion of the look-up and density table used by RFETS for weight and volume estimation.

Overall, radiography was found to be adequate, satisfactorily implemented, and effective.

5.3.4 Visual Examination

The audit team observed Visual Examination (VE) activities in Building 776. The team also reviewed VE data packages. The main concern found was the dubbing of sound onto a video of visual examination of waste containers. A Nonconformance Report (NCR) was initiated by RFETS to document the dubbing. The NCR was properly dispositioned use-as-is by RFETS. Two other concerns were raised concerning the VE operators having access to RTR data and the VE operator recording the waste summary group, instead of the Waste Matrix Code. All three conditions were corrected during the audit.

RFETS should explore methods to improve the quality of the VE process (see Observation number 3).

Overall, Visual Examination was found to be adequate, satisfactorily implemented, and effective.

5.3.5 Verification and Validation

Verification and Validation (V&V) at both the Data Generator and Project levels was reviewed during the audit.

During Phase 1 the audit team examined a combined sampling and analysis batch report, HVOC-DP-00234 (containing sampling batch number 00C0460 and gas analytical batch number 20002); a radiography batch report (testing batch number 5T-0102); and a visual examination batch report (testing batch number VE-2000-001). The audit team also observed each of these activities performed on actual waste containers.

The combined sampling and analysis batch report HVOC-DP-0234 for headspace gas sampling and analysis was found to be deficient. This is identified in CARs 00-009 and 010. The corrective action for this batch report was to reject it and re-sample the drums after they have met the drum age criteria. During the week of January 7, 2000, an additional headspace gas sampling and analysis batch report was submitted for review at CAO (HVOC-DP-00235). Two more headspace gas sampling and analysis batch reports were reviewed during Phase 2 (HVOC-DP-00236 and 00237) to ensure that RFETS is satisfactorily implementing the requirements of the WAP.

Minor concerns were identified in the areas of consistency between the *RTR and VE Validation Checklist and Summary* checklist items and the requirements of the RTR/VE operating procedures and associated data forms, and the "WIPP RTR Visual Comparison Report" comparison being performed at the generator level review instead of the project level review. These concerns were corrected during the audit.

The audit team noted that responses on the Project Manager (PM) checklist were completed by an individual other than the PM and signed off by the PM (see Observation 4). It was also noted that there were several improvements that could be made in the preparation of the Project Level Review checklists for HSG and RTR/VE that would make them more auditable (see Recommendation 2).

The batch reports cited above were used to demonstrate confirmation of Acceptable Knowledge, to reconcile data quality objectives, to prepare a draft Waste Stream Profile Form, and to transmit data to WIPP using the WWIS.

Draft Waste Stream Profile Form RF002.01 and the summarized characterization information related to it was reviewed to establish the objective evidence for reporting waste characterization information to WIPP. The form was completed using three drums. Although the waste stream is not yet fully characterized, RFETS was requested to prepare the draft Waste Stream Profile Form so that the procedure could be audited. Once the waste stream is fully characterized, an actual Waste Stream Profile Form will be prepared and submitted to CAO as required.

Overall, Verification and Validation was found to be adequate, satisfactorily implemented, and effective.

6.0 CORRECTIVE ACTIONS, OBSERVATIONS, and RECOMMENDATIONS

6.1 Corrective Action Reports

Three CARs (described below) were initiated during Phase 1 of the audit. Those conditions adverse to quality had been corrected by RFETS prior to the beginning of Phase 2. The close-out information has been provided to RFETS under separate cover.

6.1.1 CAO CAR 00-009

The Technical Supervisor review of batch report HVOC-DP-00234 was conducted by the QA Officer. It was not documented that this person met the minimum requirements for the qualifications specified in the QAPjP for a technical supervisor. There was no Education and Experience Evaluation form for the Technical Supervisor position. For headspace gas, such a form would have indicated the need for a BS or higher degree and one year GC/MS experience.

Table B3-10 of the QAPjP stated (in a footnote) that the position of Technical Supervisor was described in QAPjP section A-7. This was not the case; however, the position of Analytical Laboratory Manager is described and some of the duties described for the Laboratory Manager were actually being accomplished by the

Technical Supervisor. The QAPjP requires that these duties be performed by the Technical Supervisor. Batch report HVOC-DP-00234 was rejected; the drums will be resampled after they have met the drum age criteria.

6.1.2 CAO CAR 00-010

During the review of headspace gas batch report HVOC-DP-00234, it was noted that the Independent Technical Reviewer (ITR) had not performed the calculations required to determine if the data quality objectives (DQOs) had been met. Additionally, those calculations were not identified as being omitted during the Technical Supervisor review. The Technical Supervisor checklist requires verification that all calculation records are included in the batch report.

The ITR checklist indicated that the QC data was within control limits; however, batch report HVOC-DP-00234 did not contain objective evidence that the ITR had compared the data with the quality assurance objectives (QAOs). This comparison during the ITR review would have identified the analyte in the field reference standard that exceeded the acceptance criteria. Although the calculations were not present in the data package, the Technical Supervisor review identified the field reference standard analyte that did not meet the acceptance criteria and initiated nonconformance report (NCR) number 1999-002054, which was later closed by rejecting batch report HVOC-DP-00234. The drums in this batch report will be resampled after the drum age criteria has been met.

In addition to the ITR QAO calculation not being present in HVOC-DP-00234, it was noted that the batch report did not contain a copy of the spectral analysis for the samples. The data was added to the report and the procedure now ensures that the data is contained in the batch reports. RFETS stated that the spectral analysis was being reviewed "on-screen" to identify tentatively identified compounds (TICs). The spectral analysis is needed to visually verify that the gas chromatography/mass spectroscopy (GC/MS) is adequately and effectively identifying TICs.

6.1.3 CAO CAR 00-011

Many of the concerns identified during the audit could be contributed to a failure to follow procedures. Although many of these conditions were corrected during the audit, this CAR was issued to correct the programmatic problem.

6.2 Deficiencies Corrected During the Audit

Fifteen deficiencies requiring remedial action only were identified during the audit. All fifteen were corrected before the completion of the audit. These are identified in the

completed audit checklists and documented on the "corrected during the audit " forms, which are kept as QA Records.

6.3 Observations

An Observation documents marginally acceptable conditions that, if not controlled, might later escalate into a deficiency.

1. A permanent label on a calibration gas cylinder did not match the label attached to neck of the cylinder. The label on the neck was accurate. The incorrect label on the cylinder was removed.
2. Procedure L-4111Q, *GC/MS Determination of Volatile Organics Waste Characterization*, should provide further detail of the evaluation and review of Target Compound identity and Tentatively Identified Compound (TIC) identification.
3. RFETS should explore methods to improve the VE process. Improvements should include better audio quality on the video/audio tapes, improved communication between personnel in the airlock and the VEE, addition of cameras looking down at the drums, and the addition of a character-generated date and time to the videotape image.
4. Responses on the Project Manager (PM) checklists were completed by an individual other than the PM and signed off by the PM. The PM reviewed the data packages and therefore, the PM should be the individual who provides the response to the checklist items.

6.4 Recommendations

1. Recommend that RFETS upgrade the "lookup" tables used to do weight estimates for RTR. The addition of more common waste items to the lookup tables would help the RTR operators with weight estimates and could improve weight estimate consistency.
2. Recommend that RFETS perform the following to enhance documentation:
 - The RTR data forms should include a more detailed description of the waste in the waste inventory.
 - Batch Reports should include the records database printout so it is possible to tell how many pages are in the total package.

- The Project Level Review checklists for HSG and RTR/VE should include as applicable: 1) an item to check the image resolution for RTR and VE (and other applicable QC checks), 2) an item to check the SOP and revision number (for QAO of comparability on SPQAO, Facility QA Officer (FQAO), and Technical Supervisor checklists), and 3) an item to check QAO for completeness (on SPQAO and FQAO checklists).

7.0 LIST OF ATTACHMENTS

Attachment 1: Personnel Contacted during the Audit (Phase 1)

Attachment 2: Personnel Contacted during the Audit (Phase 2)

Attachment 3: Summary Table of Audit Results

Attachment 4: Table of Audited RFETS Implementing Procedures

PERSONNEL CONTACTED DURING THE AUDIT

RFETS PERSONNEL CONTACTED DURING AUDIT A-00-08 (Phase 1)				
NAME	ORG/TITLE	PREAUDIT MEETING	CONTACTED DURING AUDIT	POST-AUDIT MEETING
Anderson, Mike	GTS/RMRS/CSO; CSR		X	
Anderson, Scott	KH/Waste Ops; Program Manager	X	X	X
Arnold, Pat	RMRS/Waste Ops; Mgr Waste Gen		X	
Ater, Ed	SAIC/RMRS; TRU Program Technical Specialist	X		
Ayala-Rosado, R.	NDT; Tech Supervisor		X	
Ballenger, R. J.	SSOC/WIPP; Residue Compliance Manager	X		X
Blanchard, C. M.	KH SSOC Lab; RRT		X	
Blauvelt, Dick	CTAC/WPI; Tech Specialist	X		X
Brown, Denny	DB Associates; President	X		
Burback, G. L.	NDT; NDT Tech		X	
Carson, Pete	RMRS/LATA/TRU Waste; Scientist/Engineer	X		
Cassel, J. R.	SWO; Process Spec.		X	
Castagneri, Mark	RMRS/QA; TWCP QAO	X	X	X
Corbett, Philip	RMRS; Quality Engineer		X	
Cox, Carl	SSOC; President	X		X
Crong, S. K.	KH Closure Projects	X		
Crowe, Steve	KH/Closure Projects; Division Manager			X
D'Amico, Eric	RMRS/Waste Projects; Environmental Scientist	X	X	X

RFETS PERSONNEL CONTACTED DURING AUDIT A-00-08 (Phase 1)				
NAME	ORG/TITLE	PREAUDIT MEETING	CONTACTED DURING AUDIT	POST-AUDIT MEETING
Davis, Robert E.	KH CP E&I/Special Projects	X	X	
DiGregorio, Greg	RMRS; Waste Ops QA Manager	X		
Eberlein Susan	SSOC/Product Quality; Department Manager	X		
Echelard, Tim	CSS/Metrology; Engineer		X	
Eschenbaum, R. A.	SSOC/LATA/WIPP/Residue Compliance; Senior Eng	X		X
Etchart, Patrick	RFFO; DOE Communications			X
Ferguson, Jim	RMRS/GTS/TRU Project; Engineer	X	X	X
Ferrera, Carol	Horne Engineering; TRU Waste Certification Official	X	X	X
Fisher, A. J.	SSOC; QA Manager	X		
Flewelling, Arthur S.	DB & Associates; Consultant	X		
Fox, Mary	SSOC/Rad Labs; RRT		X	
Fraser; Gary	KH/ISO; Assessor	X		
French, David M.	Residues QA/QC; Consultant	X		
French, Mark	DOE/RL; TRU Program Manager	X		
Geis, J. A. 'Art'	SSOC/Product Quality; Mgr	X		X
Gilbreath, Chris	CDPHE	X		X
Gillespie, Doyle	KH-QP; Sr Principal QA Engineer	X	X	
Grady, Frank	RMRS/TRU Waste Projects;	X		

RFETS PERSONNEL CONTACTED DURING AUDIT A-00-08 (Phase 1)				
NAME	ORG/TITLE	PREAUDIT MEETING	CONTACTED DURING AUDIT	POST-AUDIT MEETING
	TRU Project Engineer			
Grover, David	DNFSB; RFETS Site Rep	X		
Hadacek, M. W.	KH/Quality Program; Sr Quality Engineer		X	
Hamann, Lynn	RMRS; Lead Doc Cont		X	
Hansen, Sonja	RMRS/TRU Waste; Admin Assistant	X		
Harrison, Jeff	Wastren/RMRS; Engineer	X	X	X
Hedahl, Tim	KH/Closure Project; KH Deputy VP			X
Helgeson, L. K.	SWO; Process Spec.		X	
Hunter, Duane	SSCO/Labs; Manager	X		
Jennings, John	SSOC/ROL; Chemist		X	
Kaatz, Jr., Q. T. L.	CSS/Metrology; Technician		X	
Kercher, Ann	RMRS/TRU Waste Project; Engineer	X	X	X
Kirschenmann, Harley	MACTEC/RMRS/TWCP; Engineer	X	X	X
Krupp, Gene	LATA/WIPP Residue Compliance; Sr. Chemical Engineer	X		
Kuttas, Larry	NDT-RTR; NDT Tech		X	
Legare, Joe	RFFO; Assistant Manager			X
Leifer, John	RMRS/GTS/Scientist	X	X	X
Leonard, Kathleen	Hanford; Observer	X		X
McGavin, Andrew	Source One; Manager	X	X	

RFETS PERSONNEL CONTACTED DURING AUDIT A-00-08 (Phase 1)				
NAME	ORG/TITLE	PREAUDIT MEETING	CONTACTED DURING AUDIT	POST-AUDIT MEETING
McKinney, Ruth	Source One; Executive Vice President/Acting Program Manager	X	X	
McLellan, Jeana	SOM; Records Liason II		X	X
Miranda, A. A.	SWO; Process Spec.		X	
Miranda, D. Sue	SWO; Tech Support		X	
Moody, David	Wasten/TRU Projects; QA		X	
Morse, Joan	Waste Systems; Sys Analyst		X	
Nicholson, M. R.	SWO; Process Spec.		X	
Nishimoto, Gregg	DOE/RFFO; RFFO Residue Mgr.	X		
Niswonger, Ken	CDPHE			X
O'Leary, Jerry	RMRS/TRU Waste Project Manager	X	X	X
Onderco, Kate	SSOC/Trng and Qual Coord	X	X	
Owen, Don	DNFSB; RFETS Site Rep	X		
Paquette, J. R.	SWO; Process Spec.		X	
Peters, Kevin	Wastren/RMRS/Waste Systems Support		X	
Pigeon, Paul	RMRS/Training Programs; TWCP Training Officer		X	X
Plummer, J. T.	KH/QP; Auditor		X	
Reynolds, Joe	LATA/SSOC; LPQAO Metals		X	
Rivera, Mike	LATA/SSOC/WIPP Residue Compliance; Engineer	X		

RFETS PERSONNEL CONTACTED DURING AUDIT A-00-08 (Phase 1)				
NAME	ORG/TITLE	PREAUDIT MEETING	CONTACTED DURING AUDIT	POST-AUDIT MEETING
Robbins, Elver	DOE/RFFO/QPD	X		X
Robledo, Ron	CTS/RMRS; Environmental Engineer	X	X	
Rodgers, Alan	KH/Closure Project; Mgr.	X		X
Schafer, Steve	Wastren/RMRS/Waste Systems; Env Scientist		X	X
Sendelweck, Vivian	SSOC/WIPP Residue Compliance	X	X	X
Seyfert, Warren	DOE/RFFO; General Eng	X		
Shainholtz, J. W.	SWO; Proj. Spec.		X	
Simmons, Bill	SSOC/Labs; Chemist		X	
Smart, Kim	KH/IRM; Manager	X	X	
Smith, Linda C.	KH/Quality Program Mgr		X	X
Tallman, Steve	NDT-RTR; NDT Section Mgr		X	
Taylor, L. P.	Metrology; Manager		X	
Tiller, Bob	KH; COO			X
Tomlinson, Phillip F.	Informatics/SSOC/Lead Data V&V Lead	X		X
Transue, Martin	SSOC/LATA/Laboratory QA Officer (WIPPLPQAO)	X		X
Tressell, John	RMRS/QA; QA Eng.	X	X	X
Turner, Charles A.	SSOC/Laboratory Manager	X	X	X
Tyler, Laura	RMRS/DC and Records; Manager		X	
Tyler, Reg	DOE/RFFO; ER/WM Team Lead			X

RFETS PERSONNEL CONTACTED DURING AUDIT A-00-08 (Phase 1)				
NAME	ORG/TITLE	PREAUDIT MEETING	CONTACTED DURING AUDIT	POST-AUDIT MEETING
Widney, Jeff	RMRS/Training; TWCP Training Support		X	
Willey, Jim	SSOC/Labs; Chemist		X	
Williams, Linda M.	RMRS/Williams and Associates/PDCO	X	X	X
Wolf, Kathy	RMRS; Dir QA Envir Comp	X		
Wolfe, Mike	SOM; Waste Records Center Manager	X	X	X
Xuan, Lam	DOE/RFFO/EC/General Engineer/WIPP Interface	X	X	

PERSONNEL CONTACTED DURING THE AUDIT

RFETS PERSONNEL CONTACTED DURING AUDIT A-00-08 (Phase 2)				
NAME	ORG/TITLE	PREAUDIT MEETING	CONTACTED DURING AUDIT	POST-AUDIT MEETING
Anderson, Scott	KH/Waste Ops; Program Manager	X		
Baca, Tom	KH;VP	X		X
Ballenger, R. J.	SSOC/WIPP; Residue Compliance Manager	X		X
Castagneri, Mark	RMRS/QA; TWCP QAO	X	X	
D'Amico, Eric	RMRS/Waste Projects; Environmental Scientist	X	X	
Eberlein Susan	SSOC/Product Quality; Department Manager	X		
Eschenbaum, R. A.	SSOC/LATA/WIPP/Residue Compliance; Senior Eng	X		X
Ferguson, Jim	RMRS/GTS/TRU Project; Engineer	X	X	
Fisher, A. J.	SSOC; QA Manager			X
Gillespie, Doyle	KH-QP; Sr Principal QA Engineer	X		X
Grady, Frank	RMRS/TRU Waste Projects; TRU Project Engineer	X		X
Harrison, Jeff	Wastren/RMRS; Engineer		X	
Jennings, John	SSOC/ROL; Chemist		X	
Kercher, Ann	RMRS/TRU Waste Project; Engineer	X	X	
McKinney, Ruth	Source One; Executive Vice President/Acting Program Manager	X	X	X
McLellan, Jeana	SOM; Records Liason II		X	

RFETS PERSONNEL CONTACTED DURING AUDIT A-00-08 (Phase 2)				
NAME	ORG/TITLE	PREAUDIT MEETING	CONTACTED DURING AUDIT	POST-AUDIT MEETING
Morgan, Gary	DOE/RFFO/CTG; PM			X
O'Leary, Jerry	RMRS/TRU Waste Project Manager	X		X
Papp, Michael J.	Wastren; Env Eng		X	
Pigeon, Paul	RMRS/Training Programs; TWCP Training Officer	X		
Reynolds, Joe	LATA/SSOC; LPQAO Metals	X	X	
Robbins, Elver	DOE/RFFO/QPD	X		X
Robledo, Ron	CTS/RMRS; Environmental Engineer		X	
Schafer, Steve	Wastren/RMRS/Waste Systems; Env Scientist		X	
Schoen, Jim	RMRS/Waste Systems; Env Scientist		X	
Sendelweck, Vivian	SSOC/WIPP Residue Compliance	X	X	
Smart, Kim	KH/IRM; Manager	X	X	X
Smith, Linda C.	KH/Quality Program Mgr			X
Swain, Dan	SSOC; EVP	X		
Tallman, Steve	NDT-RTR; NDT Section Mgr		X	X
Tomlinson, Phillip F.	Informatics/SSOC/Lead Data V&V Lead	X		
Tressell, John	RMRS/QA; QA Eng.	X	X	
Turner, Charles A.	SSOC/Laboratory Manager	X	X	
Williams, Linda M.	RMRS/Williams and Associates/PDCO	X	X	

RFETS PERSONNEL CONTACTED DURING AUDIT A-00-08 (Phase 2)				
NAME	ORG/TITLE	PREAUDIT MEETING	CONTACTED DURING AUDIT	POST-AUDIT MEETING
Wolfe, Mike	SOM; Waste Records Center Manager	X	X	X
Xuan, Lam	DOE/RFFO/EC/General Engineer/WIPP Interface	X		X

Documents	Concern Classification				QA Evaluation		Technical
	CARs	CDAs	Obs	Rec	Adequacy	Implementation	Effectiveness
Activity							
NONCONFORMANCE		7			A	S	E
ACCEPTABLE KNOWLEDGE					A	S	E
TRAINING					A	S	E
DOCUMENT CONTROL AND RECORDS		1			A	S	E
HEADSPACE GAS		2, 3, 5	1, 2		A	S	E
RADIOGRAPHY		4, 6, 8, 14, 15		1	A	S	E
VISUAL EXAMINATION		9, 10, 13	3		A	S	E
VERIFICATION AND VALIDATION	1, 2	11, 12	4	2	A	S	E
PROCEDURE COMPLIANCE	3				A	S	E
TOTALS	3	15	4	2	A	S	E

Definitions

E = Effective
S = Satisfactory
I = Indeterminate

CAR = Corrective Action Report
CDA = Corrected During Audit
NE = Not Effective

Obs = Observation
Rec = Recommendation
A = Adequate
NA = Not Adequate

RFETS PROCEDURES AUDITED FOR A-00-08		
No.	Procedure Number	Title
1	L-4026 R J	Records Handling, Storage, and Retrieval for the WIPP Project File
2	PRO-900-16001	Leak Test of Summa Canisters in Building 125
3	L-4148 R J ICN-9/9/99	Preparation of Samples and Calibration Standards for Determination of Gases in Sample Canisters
4	5-NDT-TC-1A R1 99-RMRS-DCF-391	Training, Qualification, and Certification of Nondestructive Testing Personnel
5	RMRS-WIPP-98-100 R 6	Acceptable Knowledge TRU/TRM Waste Stream Summaries
6	RF/RMRS-97-018 R 6	RF/RMRS Waste Acceptable Knowledge Supplemental Information
7	PRO-484-WIPP-003 R 1	Collection, Review, and Confirmation of Acceptable Knowledge Documentation
8	L-4024 R H	Sample Administration for WIPP TWCP & GGTP Headspace Sample Canisters
9	4-W30-NDT-00664 R 2, DCF 393&406	Real-Time Radiography Testing of Transuranic and Low-Level Waste in Bldg 664
10	4-I19-NDT-00569 R 3, DCF 394	Real-Time Radiography Testing of Transuranic and Low-Level Waste in Bldg 569
11	L-4138 R G	Summa Passivated Stainless Steel Canister Cleaning and Certification
12	PRO-767WIPP-001 R 0, DCF-CHG-01	Waste Records Center Processing
13	1-PRO-077-WIPP-005, R 1	Management of Waste Information Prior to Transmittal to the Waste Records Center
14	L-4006 R G	Chain-of-Custody for WIPP TWCP and GGTP Headspace Sample Canisters
15	L-5017 R L	Data Review and Validation of Volatile Organic Compound Analysis for WIPP-TRU Waste Characterization Program (TWCP) – Data Generation Level
16	L-4111 R Q	GC/MS Determination of Volatile Organics Waste Characterization
17	L-4146 R H	Headspace Gas Sampling of Waste Containers
18	4-S57-WP-4701 R 3	Waste Characterization Gas Sampling
19	1-A65-ADM-15.01	Control of Non-conforming Items
20	1-MAN-001-SDRM	Site Document Requirements Manual
21	1-PRO-079-WGI-001	Waste Characterization Generation and Packaging
22	PRO-U76-WC-4030	Control of Waste Nonconformances
23	4-G83-WEM-WP-1209 R 3	WEMS Waste Package Verification and Certification
24	4-H19-WSRIC-001	WSRIC Characterization and Reverification
25	4-H80-776-ASRF-007	Visual Examination for the TRU Waste Characterization Program
26	95-WP/SAP-001	Transuranic (TRU/TRM) Waste Sampling Plan
27	L-1000	Requirements for Radiological Laboratories L-Procedures
28	PLN-97-007	TWCP Training Implementation Plan
29	RMRS-DC-06.01	Document Control Program (RMRS)
30	RMRS-QA-05.01	Preparation and Control of RMRS Documents
31	WIPP-008	Completion of Waste Stream Profile Form for Waste to be Disposed of at WIPP

RFETS PROCEDURES AUDITED FOR A-00-08

No.	Procedure Number	Title
32	WIPP-009	RCRA Characterization of TRU Waste to be disposed of at WIPP
33	WIPP-010	WIPP TRU Waste Characterization Project Level Data Review and Reporting
34	WIPP-007	TWCP Conditions Adverse to Quality Trending and Analysis
35	95-QAPjP-0050	RFETS QAPjP for the Transuranic Waste Characterization Program