Title 40 CFR Part 191
Subparts B and C
Compliance Recertification Application 2014
for the
Waste Isolation Pilot Plant

Appendix AUD-2014
Audits and Surveillances

United States Department of Energy
Waste Isolation Pilot Plant

Carlsbad Field Office
Carlsbad, New Mexico

Compliance Recertification Application 2014
Appendix AUD

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Acronyms and Abbreviations

ACL	Analytical Chemistry Laboratory
AK	acceptable knowledge
AMWTP	Advanced Mixed Waste Treatment Project
ANL	Argonne National Laboratory
ARP	Accelerated Retrieval Project
BAPL	Bettis Atomic Power Laboratory
BCL	Battelle Columbus Laboratories
CAR	corrective action report
CAST	CAST Specialty Transportation, Inc.
CBFO	Carlsbad Field Office
CCP	Central Characterization Project
CEMRC	Carlsbad Environmental Monitoring and Research Center
CFR	Code of Federal Regulalions
CGI	Commercial Grade Item
CH	contact-handled
CMR	Central Monitoring Room
CRA	Compliance Recertification Application
DOE	U.S. Department of Energy
DOT	U.S. Department of Transportation
DSA	Documented Safety Analyses
DTC	dose-to-curie
ECL	Environmental Chemistry Laboratory
FEW	Fuel Examination Waste
GC/MS	Gas Chromatograph/Mass Spectrometer
GEVNC	General Electric Vallecitos Nuclear Center
GWAS	Gamma Waste Assay System
HENC #1	High-Efficiency Neutron Counter #1
HERTR	High-Energy Real-Time Radiography
HSG	headspace gas
HSGS	headspace gas sampling
HPLC-1	High Performance Liquid Chromatography

HWFP	Hazardous Waste Facility Permit
I	indeterminate
IDC	Integrated Data Center
INL	Idaho National Laboratory
INTEC	Idaho Nuclear Technology and Engineering Center
IS&H	Industrial Safety and Health
JHA	Job Hazard Analysis
LANL	Los Alamos National Laboratory
LANL-CO	Los Alamos National Laboratory – Carlsbad Operations
LCNDE	Large Container Non-Destructive Examination
LO/TO	Lockout/Tagout
M	marginal
M&O	managment and operating
N/A	not applicable
NABC	Nondestructive Assay Box Counter
NDA	nondestructive assay
NEPA	National Environmental Policy Act
NESHAP	National Emissions Standards for Hazardous Air Pollutants
NQA	nuclear quality assurance
NTP	National TRU Program
NWP	Nuclear Waste Partnership LLC
ORNL	Oak Ridge National Laboratory
OSO	Office of Site Operations
PDP	Performance Demonstration Program
PFP	Plutonium Finishing Plant
PRS	Project Records Services
QA	quality assurance
QAP	Quality Assurance Program
QAPD	Quality Assurance Program Document
RADCON	Radiological Control
RCRA	Resource Conservation and Recovery Act
RH	remote-handled
RHF	Records Holding Facility

RH-TRU	remote-handled transuranic
RL	Hanford-Richland
RTR	real-time radiography
RWMC	Radioactive Waste Management Complex
S	satisfactory; surveillance
SCG	Summary Category Group
SDW	Safe Drinking Water
SLB2s	standard large box 2s
SNL	Sandia National Laboratories
SNL/CPG	Sandia National Laboratories/Carlsbad Program Group
SQA	software quality assurance
SRS	Savannah River Site
SSE	salt storage evaporation
SWB	standard waste box
TRANSCOM	Transportation Tracking and Communication
TRU	transuranic
TRUPACT-III	Transuranic Package Transporter-III
TSR	Technical Safety Requirements
U	unsatisfactory
V&V	verification and validation
VE	visual examination
VET	Visual Examination Technique
VOC	volatile organic compound
WAC	Waste Acceptance Criteria
WAP	Waste Analysis Plan
WDS	Waste Data System
WIPP	Waste Isolation Pilot Plant
WRAP	Waste Receiving and Processing
WRMS	WIPP Records Management Services
WSCF	Waste Sampling and Characterization Facility
WTS	Washington TRU Solutions, LLC
WTS/RES	Washington TRU Solutions Regulatory and Environmental Services

WTS/WRES	Washington TRU Solutions Washington Regulatory and Environmental Services
WWIS	WIPP Waste Information System

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AUD-1.0 Introduction

Tables AUD-1 through AUD-15 summarize assessments performed from December 31, 2007, through February 1, 2013. These assessments were performed to evaluate the adequacy and implementation of Waste Isolation Pilot Plant (WIPP) participant organizations' quality assurance (QA) programs, as well as compliance with DOE/CBFO-94-1012, CBFO *Quality Assurance Program Document* (QAPD) (U.S. DOE 2010) and the WIPP Hazardous Waste Facility Permit (HWFP).

This information supplements the information contained in the 2009 Compliance Recertification Application (CRA-2009) (U.S. DOE 2009). Some assessments were performed prior to the end of the Appendix AUD-2009 reporting period; however, the assessments were not considered complete until the final report was finished and associated regulatory approvals (if required) were obtained.

The following organizations were assessed: transuranic (TRU) waste generator sites; Sandia National Laboratories – Carlsbad Programs Group (SNL/CPG); Washington TRU Solutions, LLC (WTS); Nuclear Waste Partnership LLC (NWP); suppliers performing quality-affecting work; Los Alamos National Laboratory – Carlsbad Operations (LANL-CO), and the U.S. Department of Energy (DOE) Carlsbad Field Office (CBFO). Throughout this appendix, "CBFO" is used to include reference to the former Carlsbad Area Office, as appropriate.

Results of the assessment normally determine the adequacy, implementation, and effectiveness of an auditee's QA program. Adequacy addresses the migration of requirements from upper-tier program documents into implementing procedures. Implementation refers to the manner in which an organization applies the requirements of its QA program and of the QAPD to the activities performed. Effectiveness addresses whether the controls established in the implementing procedures produce the desired results or end products. All assessments were performed to the requirements in place at the time of the activity.

The summary tables identify the organization assessed, assessment number, assessment scope, and assessment results. Assessment results are expressed as "satisfactory" (S), "marginal" (M), "unsatisfactory" (U), "not applicable" (N/A), or "indeterminate" (I) for the three factors considered during an assessment (adequacy, implementation, and effectiveness). For assessments resulting in findings of M, U, and/or I, corrective actions are applied to address the concerns and issues identified until a satisfactory (S) result is achieved. Assessment findings of M, U, and I at TRU waste sites have been corrected or satisfactorily addressed and verified through subsequent audits, surveillances, corrective action reports (CARs), or other means prior to initial certification or continued certification for shipping waste to the WIPP.

Only those CBFO assessment activities directly related to 40 CFR Parts 191 (U.S. EPA 1993) and 194 (U.S. EPA 1996) are included in this appendix. Additional CBFO assessments are performed in other critical areas. In addition, each participant organization performs internal assessments of its own activities.

Table AUD-6 is entitled "Washington TRU Solutions/Nuclear Waste Partnership Assessments" to reflect the WIPP management and operating (M&O) contract award, which occurred on

October 1, 2012. The "Organization Assessed" column identifies the M&O contractor as either WTS or NWP, as appropriate.

Table AUD-1. Idaho National Laboratory & INL Analytical Labs Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
INL	A-08-10	05/13 – 05/15/08	Evaluated continued adequacy, implementation and effectiveness of technical and QA elements as they relate to the WIPP Hazardous Waste Facility Permit (HWFP) for characterization and certification of Summary Category Group (SCG) S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the HWFP, CBFO Quality Assurance Program Document (QAPD), contract, and statement of work, as well as the Idaho National Laboratory (INL) implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		
INL	A-08-11	01/29 – 01/30/08	Follow-up certification audit conducted to evaluate the adequacy, implementation, and effectiveness of the INL/Central Characterization Project (CCP) TRU waste characterization activities related to contact-handled (CH) SCG S4000 soils/gravel performed by the INL/CCP relative to the HWFP and upper-tier requirement documents	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, HWFP and the INL implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		
INL Analytical Labs.	A-08-22	05/13 – 05/15/08	Evaluated continued adequacy, implementation and effectiveness of INL Analytical Labs TRU waste characterization activities performed under the CCP Program. Activities evaluated included headspace gas (HSG) analysis of SCG S5000 debris wastes; Analytical Laboratories Department analysis of S3000 homogeneous solids and S4000 soils/gravel; generation-level data verification and validation (V&V) of S3000 homogeneous solids, S4000 soils/gravel, and S5000 debris wastes; and SUMMA ® canister preparation and certification for use by other generator sites.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, and the INL Analytical Labs implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		
INL	A-09-08	12/9 – 12/11/08	Limited scope audit of INL/CCP visual examination (VE) records was performed to verify the level of compliance of waste characterization and certification activities for SCG S5000 debris waste.	S	S	S
				Based on the results of the corrective action verification for CBFO CARs 09-015 and 09-016, the audit team concluded that the VE process being performed by INL/CCP was adequate, satisfactorily implemented, and effective. Follow-up surveillance (S-09-21) was conducted in March, 2009 to verify effectiveness of actions completed for the two CARs.		

Table AUD-1. Idaho National Laboratory & INL Analytical Labs Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
INL Analytical Labs.	A-09-13	05/5 – 05/07/09	Evaluated continued adequacy, implementation, and effectiveness of INL Analytical Laboratories/CCP TRU waste characterization activities.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, and the INL Analytical Labs implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		
INL	A-09-14	05/05 – 05/07/09	Evaluated continued adequacy, implementation, and effectiveness of technical and QA elements as they relate to the WIPP HWFP for characterization and certification of SCG S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the HWFP, CBFO QAPD, contract, and statement of work, as well as the INL implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		
INL	A-10-03	10/06 – 10/07/09	Evaluated the adequacy, implementation, and effectiveness of the INL Visual Examination Technique (VET) waste characterization process including related technical and QA activities performed by the INL/CCP.	S	S	S
				The audit team concluded that the INL/CCP technical and QA programs, as applicable to the VET process, were adequate in addressing upper-tier requirements, satisfactorily implemented, and effective.		
INL	A-10-16	06/08 – 06/10/10	Evaluated continued adequacy, implementation and effectiveness of technical and QA elements as they relate to the WIPP HWFP for characterization and certification of SCG S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste.	S	S	S
				The audit team concluded that the INL/CCP technical and QA program, with the exception of the dose-to-curie characterization discipline using the Osprey detector, continue to be adequate and satisfactorily implemented for characterizing SCG S3000, S4000 and S5000 waste. The dose-to-curie discipline was later evaluated during S-10-34 and determined to be adequate and satisfactorily implemented.		
INL Analytical Labs.	A-10-17	06/08 – 06/10/10	Evaluated continued adequacy, implementation and effectiveness of INL Analytical Laboratories/CCP TRU waste characterization activities.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, and the INL Analytical Labs implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		

Table AUD-1. Idaho National Laboratory & INL Analytical Labs Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
INL Analytical Labs.	A-11-13	06/07 – 06/09/11	Evaluated continued adequacy, implementation and effectiveness of INL Analytical Laboratories/CCP TRU waste characterization activities.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, and the INL Analytical Labs implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		
INL	A-11-14	06/07 – 06/09/11	Evaluated continued adequacy, implementation, and effectiveness of INL TRU waste characterization activities performed for the INL by WTS/CCP. Activities were evaluated relative to the requirements of the WIPP HWFP, the CBFO QAPD and Waste Acceptance Criteria (WAC). Evaluated CH SCGs S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste, and remote-handled (RH) SCGs S3000 homogeneous solids waste and S5000 debris waste, in addition to other technical elements, QA elements, and transportation activities.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, and the INL implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		
INL	A-12-13	06/11 – 06/14/12	Evaluated continued adequacy, implementation, and effectiveness of technical and QA elements as they relate to the WIPP HWFP for characterization and certification of SCG S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, contract and statement of work, as well as the INL implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		
INL Analytical Labs.	A-12-14	06/11 – 06/14/12	Evaluated continued adequacy, implementation and effectiveness of INL Analytical Laboratories/CCP TRU waste characterization activities. Activities evaluated included the Environmental Chemistry Laboratory (ECL) HSG analysis of SCG S5000 debris wastes; Analytical Chemistry Laboratory (ACL) solids analysis of SCGs S3000 homogeneous solids and S4000 soils/gravel wastes; generation-level data V&V; and SUMMA canister preparation and certification for use by the generator sites.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, and the INL Analytical Labs implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		

Table AUD-1. Idaho National Laboratory & INL Analytical Labs Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
INL	S-08-03	01/15 – 01/16/08	Evaluated the implementation and effectiveness of the policies, plans, and procedures related to the CCP shipment of RH TRU waste from the INL to the WIPP.	S	S	S
				Activities associated with operations necessary for the CCP's transportation of RH waste were appropriately proceduralized and effectively implemented.		
INL	S-08-07	01/15 – 01/18/08	Evaluated the implementation and effectiveness of policies, plans, and procedures related to the Accelerated Retrieval Project (ARP) VE process for newly generated wastes performed at INL by the CCP.	S	S	S
				The INL/CCP ARP VE activities were considered to be adequate, satisfactorily implemented, and effective.		
INL	S-08-16	08/05 – 08/15/08	Evaluated the adequacy, implementation, and effectiveness of the CCP technical and QA activities for remediation and repackaging of SCG S3000 waste, conducted at INL by the CCP. This included review of the Packaging Configuration Correction process described in Procedure CCP-TP-006, *CCP Visual Examination Technique for INL Newly Generated TRU Waste Retrieved from Pits.*	S	S	S
				Activities associated with remediation & repackaging of SCG S3000 were considered to be adequate, satisfactorily implemented, and effective.		
INL	S-09-08	12/16 – 12/17/08	Evaluated the adequacy, implementation, and effectiveness of the CCP technical and QA activities for remediation and repackaging of SCG S3000 homogeneous solid waste.	S	S	S
				The CCP technical and QA activities for remediation & repackaging of ARP S3000 waste were adequate, satisfactorily implemented, and effective.		
INL	S-09-21	03/25 – 03/26/09	Evaluated implementation of corrective actions associated with CBFO CARs 09-015 and 09-16 resulting from CBFO Audit A-09-08. CBFO Audit A-09-08 was performed December 09/11/2008, to evaluate the INL/CCP VE process.	S	S	S
				The surveillance team determined that corrective actions associated with CBFO CARs 09-015 and 09-16 were satisfactory, thus CBFO CARs 09-015 and 09-16 were closed. The surveillance team also verified the corrective actions were effective.		
INL	S-09-33	08/11/09	Evaluated the implementation and effectiveness of the VE process performed by the INL/CCP on RH SCG S5000 debris waste. Recertification Audit A-09-14 of INL/CCP did not include VE of RH waste.	S	S	S
				Surveillance team verified procedure compliance in performing VE on RH waste. Activities associated with VE on RH waste were adequate, satisfactorily implemented, and effective.		

Table AUD-1. Idaho National Laboratory & INL Analytical Labs Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
INL	S-10-01	10/13 – 10/14/09	Evaluated the activities associated with the relocation of the Analytical Solids Laboratory from Building 602 at the Idaho Nuclear Technology and Engineering Center (INTEC) to a modular trailer facility at the INL Radioactive Waste Management Complex (RWMC) near Idaho Falls, ID.	S	S	S
				INL/CCP activities related to solids analysis were determined to be adequate, satisfactory, and effective at the new Analytical Solids Laboratory location.		
INL	S-10-20	02/23 – 02/24/10	Evaluated the documentation associated with INL/CCP RH waste sampling and analysis activities at the INL INTEC facility.	S	S	S
				INL/CCP activities related to RH sampling and analysis characterization operations were adequate, satisfactorily implemented, and effective.		
INL	S-10-22	03/03/10	Evaluated the implementation and effectiveness of the VE characterization process performed by the INL/CCP on RH SCG S3000 solids waste. Recertification Audit A-09-14 did not include VE of RH SCG S3000 solids waste.	S	S	S
				The VE characterization process performed by the INL/CCP on RH SCG S3000 solids waste is adequately implemented and effective.		
INL	S-10-33	07/27/10	Evaluated the activities associated with INL/CCP HSG sampling (HSGS) activities at the INL.	S	S	S
				This surveillance determined that the INL/CCP HSG sampling operations were adequate, satisfactorily implemented, and effective.		
INL	S-10-34	07/20 – 07/21/10	Evaluated the adequacy, procedure implementation, and effectiveness of project-level review of dose-to-curie (DTC) data measured using an Osprey detector. This surveillance was performed to address a determination of inadequacy of reporting due to the unavailability of final data packages for review at the time of CBFO Audit A-10-16.	S	S	S
				This surveillance satisfactorily closed out the radiological characterization (nondestructive assay [NDA] and RH/DTC) portion of Audit A-10-16. Activities were determined to be adequate, satisfactorily implemented, and effective.		

Table AUD-1. Idaho National Laboratory & INL Analytical Labs Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
INL Analytical Labs.	S-11-31	9/21/11	Verified the operability, implementation, and effectiveness of two new instruments at the ECL, gas chromatography/mass spectrometry (GC/MS) instruments I and J (GC/MS-I and GC/MS-J), and their associated procedure, to confirm adequacy, implementation, and effectiveness of the characterization process for SCG S5000 debris waste relative to the requirements of the WIPP HWFP.	S	S	S
				The surveillance team concluded that the laboratory program's new instruments were adequate and the procedure is satisfactorily implemented and effective.		
INL	S-12-10	11/01/11	Verified the operability, implementation, and effectiveness of the High Performance Liquid Chromatography (HPLC-1) used for analysis of samples for hydrazine and formaldehyde, to confirm the adequacy, implementation and effectiveness of this process for SCG S3000 solids and S4000 soils/gravel waste relative to the requirements of the WIPP HWFP.	S	S	S
				The surveillance team concluded that formaldehyde and hydrazine HPLC-1 analyses at the INL/CCP ACL were acceptable, satisfactory, and effective.		
INL	S-12-20	05/07/12	Evaluated the operational capability of INL/CCP Real-Time Radiography (RTR) Unit #RTR-0659 at the INTEC for characterization of RH SCG S3000 solids waste. The surveillance team verified that the INTEC RTR unit (RTR-0659) was capable of providing full penetration of the solid waste in waste stream IN-ID-BTO-030.	S	S	S
				The surveillance team determined that the operational capability of RTR unit #RTR-0659 was acceptable, satisfactory and effective.		
INL	S-13-17	01/09 – 01/10/13	Evaluated the operability, implementation, and effectiveness of the Gas Chromatography Unit 7 instrument used for the dual-column gas chromatographic separation and detection of nonhalogenated volatile organic compounds (VOC) in extracts of solid samples.	S	S	S
				The surveillance team determined that the operational capability of the GC-7 instrument and procedures were acceptable, satisfactory, and effective.		
INL	S-13-19	01/24/13	Evaluated the VET process for characterizing retrievably stored CH SCG S3000 homogeneous solids waste at the RWMC ARP.	S	S	S
				The surveillance team concluded that VET operations for retrievably stored CH solids waste are adequate in meeting upper-tier requirements, and procedures are satisfactorily implemented and effective in achieving the desired results.		

Table AUD-2. Los Alamos National Laboratory Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL	A-08-16	04/15 – 04/17/08	Evaluated the continued adequacy, implementation, and effectiveness of LANL TRU waste characterization and certification activities for CH SCG S3000 homogeneous solids and S5000 debris wastes, and RH S5000 debris waste performed for LANL by WTS/CCP relative to the requirements detailed in the WIPP HWFP, CBFO QAPD, and other upper-tier requirement documents.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the WIPP HWFP, CBFO QAPD, and requirement documents. Technical areas evaluated were adequate, satisfactorily implemented, and effective for compliance with the HWFP.		
LANL	A-09-12	04/07 – 04/09/09	Evaluated the continued adequacy, implementation, and effectiveness of LANL TRU waste characterization and certification activities for CH SCG S3000 homogeneous solids and S5000 debris wastes, and RH S5000 debris waste performed for LANL by WTS/CCP relative to the requirements detailed in the WIPP HWFP, CBFO QAPD, and other upper-tier requirement documents.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the WIPP HWFP, CBFO QAPD, and requirement documents. Technical areas evaluated were adequate, satisfactorily implemented, and effective for compliance with the HWFP.		
LANL	A-10-14	04/27 – 04/29/10	Evaluated the continued adequacy, implementation, and effectiveness of LANL TRU waste characterization and certification activities for CH SCG S3000 homogeneous solids and S5000 debris wastes, and RH S5000 debris waste performed for LANL by WTS/CCP relative to the requirements detailed in the WIPP HWFP, CBFO QAPD, and other upper-tier requirement documents, as well as VE in support of the Off-Site Recovery Program.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the WIPP HWFP, CBFO QAPD, and requirement documents. Technical areas evaluated were adequate, satisfactorily implemented, and effective for compliance with the HWFP. Four CARs were issued from this audit (10-025, 10-026, 10-027, and 10-028). Corrective actions plans were approved and actual actions verified. Follow-up surveillance S-10-31 was conducted to verify effectiveness of corrective actions for CAR 10-025.		

Table AUD-2. Los Alamos National Laboratory Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL	A-11-11	05/17 – 05/19/11	Evaluated the adequacy, implementation, and effectiveness of LANL TRU waste characterization activities performed for LANL by the WTS/CCP relative to the requirements detailed in the WIPP HWFP and CBFO QAPD. The audit team evaluated the characterization processes for CH SCG S3000 homogeneous solids waste and SCG S5000 debris waste.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the WIPP HWFP, CBFO QAPD, and requirement documents. Technical areas evaluated were adequate, satisfactorily implemented, and effective for compliance with the HWFP.		
LANL	A-12-12	07/24 – 07/26/12	Evaluated the adequacy, implementation, and effectiveness of LANL TRU waste characterization activities performed for LANL by WTS/CCP. The audit was conducted relative to the requirements detailed in the WIPP HWFP, the CBFO QAPD, and other upper-tier requirement documents. Evaluated the continuing characterization processes for CH SCG S3000 homogeneous solids and SCG S5000 debris wastes. The CBFO Office of the National TRU Program (NTP) requested that the audit team also evaluate the characterization process for CH SCG S4000 soils/gravel waste for initial certification. As part of the audit, the NTP requested a review of the extension of the calibration for the High-Efficiency Neutron Counter #1 (HENC #1) to include a population of lead-lined 55-gallon drums containing solidified materials, as well as a calibration extension of the high-resolution gamma spectrometry to 2.5 grams per cubic centimeter for the SuperHENC.	S for S3000/S500 I for S4000	S for S3000/S500 I for S4000	S for S3000/S500 I for S4000
				The audit team verified that the LANL/CCP technical and QA programs, including the NTP requested extensions, used for characterization and certification of CH SCG S3000 homogeneous solids and SCG S5000 debris waste were satisfactorily implemented and effective. The audit team was unable to determine the adequacy, implementation and effectiveness of the characterization of CH SCG S4000 soils/gravel waste because the team was not provided with any completed S4000 characterization packages. The team reviewed the preliminary Acceptable Knowledge (AK) documentation, reviewed the RTR and NDA characterization of S4000 soils/gravel waste, and reviewed a random selection memo for LANL S4000 waste. All were deemed to be adequate. No completed sampling batch data reports for LANL S4000 waste were provided to the team for evaluation, and therefore the audit team concluded that characterization activities of LANL/CCP for CH SCG S4000 soils/gravel waste were indeterminate. When additional documentation is available for review, it will be evaluated by surveillance.		
LANL	S-10-31	06/24/10	Evaluated the implementation and effectiveness of CCP corrective actions related to CBFO CAR 10-025 issued as a result of CBFO Audit A-10-14. The CAR identified issues related to the handling of raw data generated during VE activities.	S	S	S
				Verified the corrective actions for CAR 10-025. Actions were implemented and determined to be adequate and effective.		

Table AUD-2. Los Alamos National Laboratory Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL	S-11-29	08/15/11	Evaluated and observed the Canberra NDA SuperHENC system and related process for the characterization of CH waste in standard waste boxes (SWBs), in support of an initial certification.	S	S	S
				LANL/CCP activities related to CH SCG S3000 and S5000 waste measurement in SWBs on the SuperHENC using the equipment and procedures examined and subject to the measurement controls in place were adequately established for compliance with upper-tier requirements, satisfactory in the implementation of these requirements, and effective in achieving the desired results.		
LANL	S-12-16	01/24 – 01/25/12	Evaluated the High Energy Real-Time Radiography (HERTR) unit for characterizing CH SCG S5000 debris waste and S3000 homogeneous solids waste. During LANL/CCP Recertification Audit A-11-11, performed May 17 - 19, 2011, the audit team was unable to complete the initial certification of the HERTR unit.	S	S	S
				LANL/CCP activities related to CH SCG S3000 and SCG S5000 wastes using the equipment and procedures examined were determined to be adequate, satisfactory in the implementation of those requirements, and effective in achieving the desired results.		
LANL	S-13-18	01/10/13	Evaluated the LANL/CCP solids sampling and analysis activities related to the characterization of CH SCG S4000 soils/gravel waste to provide a basis for initial approval.	S	S	S
				The surveillance team reviewed the documentation supporting sampling and analysis activities, as well as final characterization of S4000 waste, and found them to be adequate, satisfactorily implemented and effective.		

Table AUD-3. Los Alamos National Laboratory – Carlsbad Operations Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL-CO	A-08-13	02/26 – 02/28/08	Evaluated adequacy, effectiveness, and implementation of requirements in the LANL-CO/Carlsbad Environmental Monitoring and Research Center (CEMRC) Interface Document, LANL-CO Quality Assurance Plan (QAP), and LANL-CO implementing procedures.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, and the LANL/CO - CEMRC implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		
LANL-CO	A-09-09	02/03 – 02/05/09	Evaluated continued adequacy, effectiveness, and implementation of requirements in the LANL-CO/CEMRC Interface Document, LANL-CO QAP, and LANL-CO implementing procedures.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, and the LANL/CO - CEMRC implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		
LANL-CO	A-10-10	02/02 – 02/04/10	Evaluated continued adequacy, effectiveness, and implementation of requirements in the LANL-CO/CEMRC Interface Document, LANL-CO QAP, and LANL-CO implementing procedures.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, and the LANL/CO - CEMRC implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		
LANL-CO	A-11-05	04/26 – 04/28/11	Evaluated continued adequacy, effectiveness, and implementation of requirements in the LANL-CO/CEMRC Interface Document, LANL-CO QAP, and LANL-CO implementing procedures.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, and the LANL/CO - CEMRC implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		
LANL-CO	A-12-07	05/08 – 05/10/12	Evaluated continued adequacy, effectiveness, and implementation of requirements in the LANL-CO/CEMRC Interface Document, LANL-CO QAP, and LANL-CO implementing procedures.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, and the LANL/CO - CEMRC implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		

Table AUD-4. General Electric Vallecitos Nuclear Center Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
General Electric Vallecitos Nuclear Center (GEVNC)	A-09-05	12/02 – 12/04/08	Evaluated the adequacy, implementation, and effectiveness of (GEVNC) TRU waste characterization activities performed for RH SCG S5000 debris waste by WTS/CCP. Activities were evaluated relative to the requirements of the WIPP HWFP, the CBFO QAPD, and other upper-tier requirement documents.	S	S	S
				Technical and QA programs, as applicable to the audited activities, were adequate, satisfactorily implemented, and effective for compliance with applicable upper-tier requirements.		
GEVNC	A-10-04	01/26 – 01/28/10	Evaluated the continued adequacy, implementation, and effectiveness of GEVNC TRU waste characterization activities performed for RH SCG S5000 debris waste by WTS/CCP. Emphasis was placed on activities completed since the previous Audit A-09-05 and the process for project termination/closure activities due to the completion of the waste characterization campaign at GEVNC. All activities were evaluated to verify compliance with the applicable requirements of the WIPP HWFP, the CBFO QAPD, and other upper-tier requirement documents.	S	S	S
				Technical and QA programs, as applicable to the audited activities, were adequate, satisfactorily implemented, and effective for compliance with applicable upper-tier requirements.		

Table AUD-5. Hanford-Richland Site Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
Richland (RL)	A-08-18	06/16 – 06/20/08	Evaluated the continued adequacy, implementation, and effectiveness of the Hanford QA Program and waste characterization and certification activities. Evaluated SCG S3000 homogeneous solids and S5000 debris waste characterized at the Waste Receiving and Processing (WRAP) facility, the Plutonium Finishing Plant (PFP), and the Waste Sampling and Characterization Facility (WSCF), as applicable. All activities were evaluated to verify compliance with the applicable requirements of the WIPP HWFP, the CBFO QAPD, and other upper-tier requirement documents.	S	S	S
				Technical and QA programs, as applicable to the audited activities, were adequate, satisfactorily implemented, and effective for compliance with applicable upper-tier requirements.		
RL	A-09-18	06/09 – 06/11/09	Evaluated the continued adequacy, implementation, and effectiveness of the Hanford QA Program and the Hanford Site TRU waste characterization and certification activities. Evaluated SCG S3000 and S5000 wastes characterized at the WRAP facility, the PFP, and the WSCF. Verified compliance with the applicable requirements of the WIPP HWFP, the CBFO QAPD, and other requirement documents. (In addition to the recertification of the Hanford TRU Program activities, consideration was given to the probability of retiring the Hanford TRU Program implementing procedures and the future implementation of the CCP as a viable option for Hanford's continued characterization and certification activities.)	S	S	S
				Technical and QA programs, as applicable to the audited activities, were adequate, satisfactorily implemented, and effective for compliance with applicable upper-tier requirements.		
RL	A-10-07	04/06 – 04/08/10	Evaluated the adequacy, implementation, and effectiveness of TRU waste characterization activities for SCG S5000 CH debris waste performed for the Hanford Site by WTS/CCP. Evaluated to verify compliance with the WIPP HWFP, the CBFO QAPD, and other upper-tier requirement documents. This was the initial certification for operations under the WTS/CCP Program.	S	S	S
				Technical and QA programs, as applicable to the audited activities, were adequate, satisfactorily implemented, and effective for compliance with applicable upper-tier requirements.		

Table AUD-5. Hanford-Richland Site Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
RL	A-11-10	04/05 – 04/07/11	Evaluated continued adequacy, implementation, and effectiveness of the Hanford Site TRU waste characterization activities performed for CH SCGs S3000 homogeneous solids waste and S5000 debris waste WTS/CCP. Evaluated to verify compliance with the WIPP HWFP, the CBFO QAPD, and other requirement documents. (Also verified the initial certification activities related to the HERTR system for characterization of SWBs.	S	S	S
				Technical and QA programs, as applicable to the audited activities, were adequate, satisfactorily implemented, and effective for compliance with applicable upper-tier requirements.		
RL	A-12-11	05/15 – 05/16/12	Evaluated continued adequacy, implementation, and effectiveness of the Hanford Site TRU waste characterization activities performed for CH SCGs S3000 homogeneous solids waste and S5000 debris waste WTS/CCP. All activities were evaluated to verify compliance with the applicable requirements of the WIPP HWFP, the CBFO QAPD, and other requirement documents. Hanford/CCP suspended waste characterization activities at the end of September 2011, due to funding issues. No new containers of waste were introduced into the characterization process after September 2011; however, containers requiring the completion of generation-level data reviews and project-level data V&V activities to finalize the characterization process were managed for a short time thereafter.	S	I	I
				The audit team concluded that, for the documentation reviewed, the overall adequacy of the Hanford/CCP technical and QA programs was satisfactory in meeting upper-tier requirements as applicable to the audited activities. Since Hanford/CCP suspended waste characterization activities at the Hanford Site, the audit team was unable to evaluate HSG sampling, RTR, VE, and NDA characterization activities in the field to determine the implementation and effectiveness of characterization procedures, or to verify personnel and equipment were available to continue characterization activities. For this reason, these processes were deemed indeterminate.		
RL	S-08-11	04/28 – 04/29/08	Evaluated the implementation and effectiveness of the policies, plans, and procedures related to transportation activities at Hanford for the shipment of TRU waste to WIPP.	S	S	S
				The surveillance team determined that Hanford site procedures reviewed contained adequate flow-down of transportation requirements and the procedures were effectively implemented.		
RL	S-10-17	03/31/10	Reviewed and evaluated the implementation and effectiveness of Hanford records closeout activities, as related to transuranic waste.	N/A	S	S
				Implementation of the Hanford procedures for records closeout activities were evaluated and found to be effective.		
RL	S-10-19	03/30 – 03/31/10	Reviewed and evaluated the implementation and effectiveness of Hanford/CCP procedures related to transportation activities in accordance with CBFO and CCP procedure requirements.	S	S	S
				Implementation of the CCP procedures evaluated was effective for transportation of transuranic waste from Hanford to the WIPP. Hanford/CCP has satisfactorily and effectively implemented the requirements of CBFO and CCP procedures.		

Table AUD-5. Hanford-Richland Site Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
RL	S-10-32	07/13/10	Evaluated the activities associated with Hanford/CCP HSG sampling activities at the Hanford Site facility.	S	S	S
				Activities related to HSG operations were adequate, satisfactorily implemented, and effective.		
RL	S-10-35	07/13/10	Evaluated the implementation and effectiveness of CCP corrective actions related to CAR 10-019 that resulted from audit A-10-07. The CAR identified issues related to the handling of raw data generated during VE activities.	S	S	S
				Corrective actions for CAR 10-019 were determined to be adequate, satisfactorily implemented, and effective.		

Table AUD-6. Washington TRU Solutions/Nuclear Waste Partnership Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
WTS	A-08-07	01/14 – 01/18/08	Evaluated the continued adequacy, implementation, and effectiveness of the WTS/CCP QAP, which was established for controlling quality-affecting activities associated with the characterization and certification of TRU waste by CCP destined for disposal WIPP repository.	S	S	S
				Activities related to the WTS/CCP QAP were adequate, satisfactorily implemented, and effective.		
WTS	A-08-14	02/12 – 02/14/08	Evaluated the adequacy, implementation, and effectiveness of the WTS WIPP Form Process, established for capturing, evaluating, and tracking the resolution of noted issues, deficiencies, and associated actions.	S	S	S
				Activities related to the WTS WIPP Form Process were adequate, satisfactorily implemented, and effective.		
WTS	A-08-15	03/24 – 03/27/08	Evaluated the continued adequacy and implementation of the WTS QA program related to the American Society of Mechanical Engineers Nuclear Quality Assurance (NQA)-1, 1989 Edition *Quality Assurance Program Requirements for Nuclear Facilities* Criteria 1-9.	S	S	S
				WTS QA program activities related to NQA-1 Criteria 1-9 were adequate and satisfactorily implemented relative to the flow-down of requirements from the upper-tier documents.		
WTS	A-08-17	04/08 – 04/11/08	Evaluated the adequacy, implementation, and effectiveness of QA and technical activities related to CH and RH waste handling operations at the WIPP. The activities were evaluated with respect to the requirements defined in the WIPP HWFP, CBFO QAPD, and other requirement documents	S	S	S
				Activities related to the WTS waste handling operations were adequate and satisfactorily implemented relative to the flow-down of requirements from the upper-tier documents.		
WTS	A-08-25	08/11 – 08/14/08	Evaluated the adequacy, implementation, and effectiveness of transportation activities performed under the CCP Program. The evaluation included CCP activities related to transportation activities performed by CCP at LANL, Savannah River Site (SRS), INL, and Oak Ridge National Laboratory (ORNL).	S	S	S
				Activities related to CCP transportation operations were adequate and satisfactorily implemented relative to the flow-down of requirements from the upper-tier documents.		
WTS	A-09-02	10/07 – 10/09/08	Evaluated WTS continued implementation of the QA program in relation to NQA-1, Criteria 10-18.	S	S	S
				WTS QA program activities related to NQA-1 Criteria 10-18 were adequate and satisfactorily implemented relative to the flow-down of requirements from the upper-tier documents.		

Table AUD-6. Washington TRU Solutions/Nuclear Waste Partnership Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
WTS	A-09-06	12/02 – 12/04/08	Evaluated the adequacy, implementation, and effectiveness of inter-site transportation activities performed under the WTS/CCP Program. The evaluation included CCP activities related to transportation activities performed by CCP at the Nevada Test Site.	S	S	S
				The audit team concluded that the CCP transportation activities evaluated were adequate, satisfactorily implemented, and effective.		
WTS	A-09-10	02/24 – 02/26/09	Evaluated the continued adequacy, implementation, and effectiveness of the WTS/CCP QAP which was established for controlling quality-affecting activities associated with the characterization and certification of TRU waste by CCP destined for disposal WIPP repository.	S	S	S
				Activities related to the WTS/CCP QAP were adequate, satisfactorily implemented, and effective.		
WTS	A-09-15	03/17 – 03/19/09	Evaluated the continued adequacy and implementation of the WTS QA Program related to NQA-1 Criteria 1-9.	S	S	S
				Activities related to the WTS QA Program were adequate, satisfactorily implemented, and effective.		
WTS	A-09-23	07/07 – 07/09/09	Evaluated the continued adequacy, implementation, and effectiveness of QA and technical activities related to CH and RH waste handling operations at the WIPP.	S	S	S
				Activities related to the WTS waste handling operations were adequate and satisfactorily implemented relative to the flow-down of requirements from the upper-tier documents.		
WTS	A-09-26	09/08 – 09/10/09	Evaluated the adequacy, implementation, and effectiveness of QA and technical activities related to WTS compliance with Department of Energy (DOE) Order 226.1A, *Implementation* of *Department* of *Energy Oversight Policy*, specifically the Contractor Requirements Document, Attachment 1. The WTS *Quality Assurance Program Description*, WP 13-1, governed the QA aspects of the audit.	S	S	S
				WTS compliance with DOE Order 226.1A adequately addressed applicable upper-tier requirements and was satisfactorily implemented and effective.		
WTS	A-09-27	09/29 – 10/01/09	Evaluated the adequacy, implementation, and effectiveness of transportation activities performed by CCP at LANL, SRS, INL, GEVNC, ORNL, and Argonne National Laboratory (ANL).	S	S	S
				Requirements associated with CCP technical and QA program activities related to transportation were satisfactorily implemented and effective relative to the CBFO QAPD and upper tier requirements.		
WTS	A-10-02	10/06 – 10/08/09	Evaluated WTS continued implementation of the QA program in relation to NQA-1 Criteria 10 - 18.	S	S	S
				Activities related to the WTS QA Program were adequate, satisfactorily implemented, and effective.		

Table AUD-6. Washington TRU Solutions/Nuclear Waste Partnership Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
WTS	A-10-05	06/22 – 06/24/10	Evaluated the adequacy, implementation, and effectiveness of inter-site transportation activities performed by the WTS/CCP. The evaluation included CCP transportation activities performed by CCP at the Lawrence Livermore National Laboratory.	S	S	S
				The audit team concluded that the CCP inter-site transportation activities evaluated were adequate, satisfactorily implemented, and effective.		
WTS	A-10-11	03/02 – 03/04/10	Continued adequacy, implementation, and effectiveness of the WTS/CCP QA Program, established for controlling quality-affecting activities associated with CCP characterization and certification of TRU waste destined for disposal at the WIPP.	S	S	S
				Activities related to the WTS/CCP QAP were adequate, satisfactorily implemented, and effective.		
WTS	A-10-18	09/14 – 09/16/10	Evaluated the continued adequacy, implementation, and effectiveness of QA and technical activities related to CH and RH waste handling operations at the WIPP.	S	S	S
				Activities related to the WTS waste handling operations were adequate and satisfactorily implemented relative to the flow-down of requirements from the upper-tier documents.		
WTS	A-10-20	05/10 – 05/13/10	Evaluated the continued adequacy and implementation of the WTS QA Program related to the WTS Monitoring Programs.	S	S	S
				Activities related to the WTS monitoring programs operations were adequate and satisfactorily implemented relative to the flow-down of requirements from the upper-tier documents.		
WTS	A-10-21	04/13 – 04/15/10	Evaluated the continued adequacy and implementation of the WTS QA Program as related to NQA-1 Criteria 1-9.	S	S	S
				Activities related to the WTS QA Program were adequate, satisfactorily implemented, and effective.		
WTS	A-10-25	09/21 – 09/23/10	Evaluated the adequacy, implementation, and effectiveness of transportation activities performed by CCP at LANL, SRS, INL, GEVNC, ORNL, Hanford, and ANL.	S	S	S
				Requirements associated with CCP technical and QA program activities related to transportation were satisfactorily implemented and effective relative to the CBFO QAPD and upper tier requirements.		
WTS	A-11-02	10/05 – 10/07/10	Evaluated WTS continued implementation of the QA program in relation to NQA-1 Criteria 10 - 18.	S	S	S
				Activities related to the WTS QA Program were adequate, satisfactorily implemented, and effective.		
WTS	A-11-06	03/01 – 03/03/11	Evaluated the continued adequacy, implementation, and effectiveness of the WTS/CCP QAP, which was established for controlling quality-affecting activities associated with the characterization and certification of TRU waste by CCP destined for disposal WIPP repository.	S	S	S
				Activities related to the WTS/CCP QAP were adequate, satisfactorily implemented, and effective.		

Table AUD-6. Washington TRU Solutions/Nuclear Waste Partnership Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
WTS	A-11-07	03/15 – 03/17/11	Evaluate the adequacy, implementation, and effectiveness of QA and technical activities related to records processes at the WIPP.	M	M	M
				The audit team concluded that overall, WTS records processes were marginally adequate in addressing applicable upper-tier requirements and marginally implemented and effective. Six CARs were issued. Follow-up surveillance (S-12-01) was conducted in October, 2011 to verify completion and adequacy of corrective actions.		
WTS	A-11-09	04/12 – 04/14/11	Evaluated the continued adequacy and implementation of the WTS QA Program as related to NQA-1 Criteria 1-9.	S	S	S
				Activities related to the WTS QA Program were adequate, satisfactorily implemented, and effective.		
WTS	A-11-16	08/30 – 09/01/11	Evaluated the continued adequacy, implementation, and effectiveness of QA and technical activities related to CH and RH waste handling operations at the WIPP.	S	S	S
				Activities related to the WTS waste handling operations were adequate and satisfactorily implemented relative to the flow-down of requirements from the upper-tier documents.		
WTS	A-11-17	05/10 – 05/12/11	Evaluated the continued adequacy and implementation of the WTS QA Program related to the WTS Monitoring Programs.	S	S	S
				Activities related to the WTS monitoring programs operations were adequate and satisfactorily implemented relative to the flow-down of requirements from the upper-tier documents.		
WTS	A-11-18	05/24 – 05/26/11	Evaluated the adequacy, implementation, and effectiveness of Transuranic Package Transporter-III (TRUPACT-III) activities related to shipping processes at the Mobile Loader Storage and Staging Site located in Carlsbad, NM.	S	S	S
				The audit team concluded that overall, the TRUPACT -III activities evaluated were adequate in addressing applicable upper-tier requirements, satisfactorily implemented and effective.		
WTS	A-11-19	08/23 – 08/25/11	Evaluated the adequacy, implementation, and effectiveness of inter-site transportation activities performed by the WTS/CCP. The evaluation included documentation relating to waste shipped from various generator sites to the INL for characterization.	S	S	S
				The audit team concluded that the CCP inter-site transportation activities evaluated were adequate, satisfactorily implemented, and effective.		

Table AUD-6. Washington TRU Solutions/Nuclear Waste Partnership Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
WTS	A-11-24	09/20 – 09/22/11	Evaluated the adequacy, implementation, and effectiveness of transportation activities performed by CCP at LANL, SRS, INL GEVNC, ORNL, Hanford, and ANL.	S	S	S
				Requirements associated with CCP technical and QA program activities related to transportation were satisfactorily implemented and effective relative to the CBFO QAPD and upper tier requirements.		
WTS	A-12-01	10/04 – 10/06/11	Evaluated WTS continued implementation of the QA program in relation to NQA-1 Criteria 10 - 18.	S	S	S
				Activities related to the WTS QA Program were adequate, satisfactorily implemented, and effective.		
WTS	A-12-09	03/06 – 03/08/12	Evaluated the continued adequacy, implementation, and effectiveness of the WTS/CCP QAP, which was established for controlling quality-affecting activities associated with the characterization and certification of TRU waste by CCP destined for disposal WIPP repository.	S	S	S
				Activities related to the WTS/CCP QAP were adequate, satisfactorily implemented, and effective.		
WTS	A-12-17	04/03 – 04/05/12	Evaluate the adequacy, implementation, and effectiveness of QA and technical activities related to records processes at the WIPP.	S	S	S
				Activities related to the records processes were adequate, satisfactorily implemented, and effective.		
WTS	A-12-18	04/10 – 04/12/12	Evaluated the continued adequacy and implementation of the WTS QA Program related to NQA-1 Criteria 1-9.	S	S	S
				Activities related to the WTS QA Program were adequate, satisfactorily implemented, and effective.		
WTS	A-12-21	08/07 – 08/09/12	Evaluated the continued adequacy and implementation of the WTS QA Program related to the WTS Monitoring Programs.	S	S	S
				Activities related to the WTS monitoring programs operations were adequate and satisfactorily implemented relative to the flow-down of requirements from the upper-tier documents.		
WTS	A-12-22	06/26 – 06/28/12	Evaluated the adequacy, implementation, and effectiveness of inter-site transportation activities performed by the WTS/CCP. The evaluation included documentation relating to waste shipped from various generator sites to the INL for characterization.	S	S	S
				The audit team concluded that the CCP inter-site transportation activities evaluated were adequate, satisfactorily implemented, and effective.		

Table AUD-6. Washington TRU Solutions/Nuclear Waste Partnership Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
WTS	A-13-03	12/04 – 12/06/12	Evaluated the adequacy, implementation, and effectiveness of CCP plans and procedures related to waste transportation activities for shipment of TRU waste to the WIPP.	S	S	S
				The audit team concluded that the applicable CCP transportation activities were adequate, satisfactorily implemented, and effective for compliance with the upper-tier requirements documents.		
NWP	A-13-04	10/30 – 11/01/12	Evaluated NWP implementation of the QA program in relation to NQA-1 Criteria 10 - 18.	S	S	S
				Activities related to the NWP's QA Program were adequate, satisfactorily implemented, and effective.		
NWP	A-13-05	11/13 – 11/15/12	Evaluated the adequacy, implementation, and effectiveness of the NWP programs and related procedures for compliance with DOE Order 226.1 B, *Implementation of Department of Energy Oversight Policy*. The requirements prescribed in Attachment 1 of the Order, Contractor Requirements Document, were evaluated.	S	S	S
				The audit team determined that NWP programs adequately addressed the upper-tier requirements of the Order, were effectively implemented, and achieved the desired results.		
WTS	S-08-14	08/19 – 08/21/08	Evaluated the adequacy, implementation, and effectiveness of WTS National Emissions Standards for Hazardous Air Pollutants (NESHAP) activities.	S	S	S
				The WTS NESHAP processes and associated activities were satisfactorily implemented and effective.		
WTS	S-08-18	09/22 – 09/25/08	Evaluated the adequacy, implementation, and effectiveness of WTS Ground Control and Geotechnical Engineering processes.	S	S	S
				The surveillance team determined that the WTS Ground Control and Geotechnical Engineering processes and associated activities were satisfactorily implemented and effective.		

Table AUD-6. Washington TRU Solutions/Nuclear Waste Partnership Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
WTS	S-08-19	09/11/08 – 10/02/08	Evaluated the implementation and effectiveness of the corrective actions taken by WTS/CCP, as a result of the CAR 08-025. CAR 08-025 was issued as a result of an NCR, not due to an independent audit.	S	S	S
				Activities observed during the surveillance were satisfactorily implemented and effective.		
WTS	S-09-01	10/14 – 10/16/08	Evaluated the degree of adequacy and implementation of the requirements established to support safe mine operations at the WIPP.	S	S	S
				The results of the surveillance concluded that the portions of the WTS program and procedures supporting safe mine operations were adequate for compliance with upper-tier requirements and effectively implemented.		
WTS	S-09-03	11/17 – 11/20/08	Evaluated the adequacy, implementation, and effectiveness of WTS Engineering Fire Protection processes.	S	S	S
				The WTS Engineering Fire Protection processes and associated activities were adequately documented, satisfactorily implemented, and effective.		
WTS	S-09-04	12/09 – 12/11/08	Evaluated the adequacy, implementation, and effectiveness of WTS Fire/Emergency Response at the WIPP.	S	S	S
				The WTS Fire/Emergency Response processes and associated activities were satisfactorily implemented and effective.		
WTS	S-09-07	12/16 – 12/18/08	Evaluated the adequacy, implementation, and effectiveness of the Subsidence Survey Data Acquisition process at the WIPP.	S	S	S
				The WTS Subsidence Survey Data Acquisition processes and associated activities were satisfactorily implemented, and effective.		
WTS	S-09-11	01/20 – 01/22/09	Evaluated the adequacy, implementation and effectiveness of the WTS WIPP Form process (Issues Management) for compliance with applicable requirements.	S	S	S
				The WTS WIPP Form process remains adequate for compliance with upper-tier requirements and is effectively implemented.		
WTS	S-09-12	02/17 – 02/19/09	Evaluated the adequacy, implementation, and effectiveness of the Washington TRU Solutions Washington Regulatory and Environmental Services (WTS/WRES) Waste Confirmation process.	S	S	S
				The WTS/WRES Waste Confirmation process and associated activities were adequately documented, satisfactorily implemented, and effective.		
WTS	S-09-13	08/25 – 08/27/09	Evaluated the adequacy, implementation, and effectiveness of WTS Engineering Documented Safety Analyses (DSA)/Technical Safety Requirements (TSR) processes.	S	S	S
				The surveillance team determined that the WTS Engineering DSA/TSR processes and associated activities were adequately documented, satisfactorily implemented, and effective.		

Table AUD-6. Washington TRU Solutions/Nuclear Waste Partnership Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
WTS	S-09-14	03/31 – 04/02/09	Evaluated the adequacy, implementation, and effectiveness of the WTS Maintenance Program, including calibration control processes.	S	S	S
				The WTS Maintenance Program, including calibration control processes and associated activities, was adequately documented, satisfactorily implemented, and effective.		
WTS	S-09-15	03/24 – 03/26/09	Evaluated the degree of adequacy and effective implementation of the WTS Groundwater Monitoring Program for compliance with applicable requirements.	S	S	S
				The WTS Groundwater Monitoring Program was adequately documented, satisfactorily implemented, and effective.		
WTS	S-09-18	03/10 – 03/12/09	Evaluated the WTS Centralized Procurement Program task of providing a standardized system of acquisition and distribution of common or critical TRU waste commodities for the CBFO.	S	S	S
				The WTS Centralized Procurement Program adequately incorporated upper-tier requirements into program plans and Procedures. The Program Plan and procedures are satisfactorily implemented and effective.		
WTS	S-09-19	04/04 – 04/06/09	Evaluated the adequacy, implementation, and effectiveness of WTS Seismic Monitoring Program at the WIPP.	U	U	U
				The WTS Seismic Monitoring Program processes and associated activities were inadequate, unsatisfactorily implemented, and not effective. A CAR (09-037) categorized as significant, was issued. A corrective action plan was submitted and approved. Corrective actions were verified. Monitoring Programs re-evaluated in S-10-28.		
WTS	S-09-20	03/24 – 03/25/09	Evaluated the changes to the WTS 10 CFR Part 71, Subpart H, QA Program, as applied to the Type "B" containers.	S	S	S
				The WTS 10 CFR Part 71, Subpart H, QA Program has been changed to adequately incorporate the Nuclear Regulatory Commission's changes made to their process. The WTS changes were satisfactorily implemented and effective.		
WTS	S-09-22	04/21 – 04/23/09	Evaluated the implementation and effectiveness of the policies, plans, and procedures related to the operation, inspection, and maintenance of the WTS mine ventilation system.	S	S	S
				Activities associated with the WTS mine ventilation system were adequate, satisfactory and effective.		
WTS	S-09-23	07/29 – 07/30/09	Evaluated the degree of adequacy and effective implementation of the WTS Meteorological Monitoring Program for compliance with applicable requirements.	S	S	S
				The WTS Meteorological Monitoring Program remains adequate for compliance with upper-tier requirements and is effectively implemented.		

Table AUD-6. Washington TRU Solutions/Nuclear Waste Partnership Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
WTS	S-09-24	07/21 – 07/23/09	Evaluated the implementation and effectiveness of selected requirements applicable to security services associated with the WIPP.	M	M	M
				Due to the limited scope and the number and nature of the concerns identified, the surveillance team concluded that implementation of the requirements governing security services was marginally effective. Three CARs were issued (09-052, 09-053, and 09-054). Corrective action plans were approved and resulting completed actions verified. Re-evaluated in S-13-16, after change in security contractor.		
WTS	S-09-26	06/02 – 06/03/09	Evaluated the degree of adequacy and effective implementation of the WTS Environmental Safe Drinking Water (SDW) Program for compliance with applicable requirements.	S	S	S
				The WTS Environmental SDW Program was adequate for compliance with upper-tier requirements and is effectively implemented.		
WTS	S-09-27	09/22 – 09/24/09	Evaluated the adequacy, implementation, and effectiveness of the WTS Graded Approach Program.	S	S	S
				The WTS Graded Approach Program was adequate, satisfactorily implemented, and effective.		
WTS	S-09-28	09/08 – 09/09/09	Evaluated the adequacy, implementation, and effectiveness of the WTS QA Program with respect to DP-831 procurement activities in accordance with CBFO documents. Verified the implementation and effectiveness of WTS engineering implementing processes for the new salt storage evaporation (SSE) pond.	S	S	S
				Activities associated with the procurement of materials for the DP-831 SSE pond were adequate, satisfactorily implemented, and effective.		
WTS	S-09-31	07/14 – 07/16/09	Evaluated the adequacy, implementation, and effectiveness of the WTS Radiological Control (RADCON) Program for site operations at the WIPP.	M	M	M
				The WTS RADCON Program was marginally adequate, marginally implemented, and marginally effective. Four CARs were issued (09-048, 09-049, 09-050, and 09-051). Corrective actions for all CARs were verified to be complete.		
WTS	S-09-34	09/08 – 09/10/09	Evaluated the adequacy, implementation, and effectiveness of WTS Confined Space Control, Fall Protection, and Hearing Protection.	S	S	S
				The WTS Confined Space, Fall, and Hearing Protection Program was adequate for compliance with upper-tier requirements and was effectively implemented.		

Table AUD-6. Washington TRU Solutions/Nuclear Waste Partnership Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
WTS	S-09-38	09/29 – 09/30/09	Evaluated the adequacy, implementation, and effectiveness of the WTS Central Monitoring Room (CMR) and Transportation Tracking and Communication (TRANSCOM) Operations at the WIPP.	S	S	S
				The WTS CMR and TRANSCOM Operations were adequate, satisfactorily implemented, and effective.		
WTS	S-10-02	11/17 – 11/19/09	Evaluated the implementation and effectiveness of the Type B Packaging Program, as performed by WTS on the CH and RH TRU waste.	S	S	S
				Activities associated with the Type B Packaging Program were adequate, satisfactorily implemented, and effective.		
WTS	S-10-03	11/03 – 11/05/09	Evaluated the degree of adequacy and effective implementation of the WTS Environmental Conduct of Operations Program for compliance with applicable requirements.	S	S	S
				The WTS Conduct of Operations Program was adequate, satisfactorily implemented, and effective.		
WTS	S-10-04	12/01 – 12/03/09	Evaluated the adequacy, implementation, and effectiveness of WTS Ground Control and Geotechnical Engineering programs.	S	S	S
				The WTS Ground Control and Geotechnical Engineering programs and associated activities were adequate, satisfactorily implemented, and effective.		
WTS	S-10-07	01/19 – 01/21/10	Evaluated the adequacy and implementation of the WIPP site fire/emergency response program.	S	S	S
				The WIPP site fire/emergency response program activities were adequate, satisfactorily implemented, and effective.		
WTS	S-10-08	01/05 – 01/07/10	Evaluated the adequacy and implementation of WP 12-3, *Dosimetry Program*, as applicable to activities at the WIPP.	S	S	S
				The WTS Dosimetry Program was determined to be adequate, satisfactorily implemented, and effective.		
WTS	S-10-11	10/20 – 10/21/09	Evaluated the implementation and effectiveness of the plans and procedures related to the Procurement and QA Oversight of the TRUPACT-III.	S	S	S
				The activities associated with Procurement and QA Oversight of the TRUPACT-III were adequate, satisfactorily implemented, and effective.		

Table AUD-6. Washington TRU Solutions/Nuclear Waste Partnership Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
WTS	S-10-12	12/17/09 01/27/10 02/10/10	Evaluated the adequacy and implementation of the WTS QA Program with respect to the new DP-831 storage pond. Surveillance was conducted over a period of time because of construction and weather delays. This surveillance also evaluated and verified the implementation and effectiveness of WTS engineering implementing processes for the new DP-831 SSE Pond.	S	S	S
				Activities associated with the DP-831 storage pond were adequate, satisfactorily implemented, and effective.		
WTS	S-10-13	11/10 – 11/12/09	Evaluated the adequacy, implementation, and effectiveness of software quality assurance (SQA) controls performed by WTS and Insei related to the development of the Waste Data System (WDS), a web-based software application that includes the current WIPP Waste Information System (WWIS) software application.	S	S	S
				WTS and Insei SQA procedures were adequate and satisfactorily implemented and documented, and implementation of the WTS/Insei SQA process effectively provides for control of WDS development and promotion of the WDS software to production.		
WTS	S-10-16	04/13 – 04/15/10	Evaluated the adequacy, implementation, and effectiveness of the WTS Maintenance Program, excluding calibration.	S	S	S
				The WTS Maintenance Program was adequately documented, satisfactorily implemented, and effective.		
WTS	S-10-24	05/04/10	Evaluated the adequacy, implementation, and effectiveness of the WTS activities that allow for the off-site shipment of Resource Conservation and Recovery Act (RCRA) hazardous waste to permitted disposal sites.	S	S	S
				The WTS off-site shipment activities were adequate, satisfactorily implemented, and effective.		
WTS	S-10-28	06/22 – 06/24/10	Evaluated the adequacy, implementation, and effectiveness of the WTS Seismic Monitoring Program.	S	S	S
				The WTS Seismic Monitoring activities are adequate, satisfactorily implemented, and effective.		

Table AUD-6. Washington TRU Solutions/Nuclear Waste Partnership Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
WTS	S-10-29	07/27 – 07/29/10	Evaluated the adequacy and implementation of selected portions of the WTS Industrial Safety and Health (IS&H) Program.	S	M	M
				Overall, the program elements evaluated were adequate in addressing applicable upper-tier requirements; however, due to the number of concerns identified, the associated requirements were determined to be marginally implemented and effective. Seven CARs were issued (10-040 throuh 10-047). Corrective action plans were approved and completed actions were verified.		
WTS	S-11-01	10/19 – 10/21/10	Evaluated the adequacy, implementation, and effectiveness of SQA controls performed by WTS related to the development of WDS, a web-based software application that incorporates elements of the WWIS software application.	S	S	S
				Activities associated with SQA controls performed by WTS were adequate, satisfactorily implemented, and effective.		
WTS	S-11-02	12/14 – 12/16/10	Evaluated the Job Hazard Analysis (JHA) Program, including generation, review, approval, and update of JHAs in both surface and underground operations.	S	S	S
				The JHA program elements were adequate in addressing applicable upper-tier requirements; satisfactorily implemented, and effective.		
WTS	S-11-03	12/07 – 12/09/10	Evaluated the implementation and effectiveness of the WTS policies, plans, and procedures related to the electrical safety programs being implemented at the WIPP. Special emphasis was placed on evaluation of Lockout/Tagout (LO/TO) practices being conducted during the current program outage.	S	S	S
				The WTS Electrical Safety Program and LO/TO processes were adequate, satisfactorily implemented, and effective.		
WTS	S-11-04	11/30 – 12/02/10	Evaluated the adequacy, implementation, and effectiveness of the WTS Ground Control program, as implemented during the annual maintenance outage.	S	S	S
				Activities related to the WTS Ground Control program were adequate, satisfactorily implemented, and effective.		
WTS	S-11-07	10/13/10	Evaluated the adequacy, implementation, and effectiveness of the WTS Action Request/Work Control Process.	S	S	S
				The WTS action request and work control process was adequate, satisfactorily implemented, and effective.		
WTS	S-11-09	01/20/11	Evaluated the adequacy and implementation of the WTS QA Program with respect to the new DP-831 SSE Pond in accordance with required documents and procedures.	S	S	S
				Activities associated with the DP-831 storage pond were adequate, satisfactorily implemented, and effective.		

Table AUD-6. Washington TRU Solutions/Nuclear Waste Partnership Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
WTS	S-11-17	03/01 – 03/07/11	On February 12, 2011, during the processing of CH waste at the WIPP, Operations personnel noted twigs protruding from the corners of the lid/body joints of two SWBs being unloaded. The personnel notified the CMR and the CBFO site facility representative. The surveillance evaluated the WTS response and investigation of the incident as defined in WP 04-IM1000, Revision 8, *Issues Management Processing of WIPP Forms.*	S	S	S
				There were no deficiencies noted in WTS personnel handling of the identified issue. The conditions were identified immediately during unloading of the SWBs, documentation and proper notification were made in a timely manner, the issue was investigated in an acceptable and appropriate time frame, and the WIPP Form process was performed adequately to address the issue.		
WTS	S-11-19	07/26 – 07/28/11	Evaluated the implementation and effectiveness of selected WTS plans and procedures related to the WTS IS&H Program being implemented at the WIPP.	S	S	S
				The WTS IS&H Program activities evaluated were adequate, satisfactorily implemented, and effective.		
WTS	S-11-22	08/16/11	Evaluated the adequacy, implementation, and effectiveness of WTS NESHAP activities.	S	S	S
				WTS NESHAP activities evaluated were adequate, satisfactorily implemented, and effective.		
WTS	S-11-24	08/23 – 08/24/11	Evaluated the adequacy, implementation, and effectiveness of the WTS Commercial Grade Item (CGI) Dedication Program.	S	S	S
				WTS CGI Dedication activities evaluated were adequate, satisfactorily implemented, and effective.		
WTS	S-11-25	09/20 – 09/22/11	Conducted as a follow-up to CBFO CAR 11-043. identified during audit A-11-14, which identified that some of the required AK documents INL/CCP were missing in the CCP Records files. Team evaluated the adequacy, implementation, and effectiveness of the CCP collection and storage of the AK source documents and applicable forms.	S	S	S
				The CCP AK Records activities evaluated were adequate, satisfactorily implemented, and effective.		
WTS	S-11-26	09/06 – 09/08/11	Evaluated the WTS work control process for compliance with WTS Management Control Procedure WP 10-WC3011, *Work Control Process.*	S	S	S
				The WTS work control processes evaluated were adequate, satisfactorily implemented, and effective.		
WTS	S-12-01	10/04 – 10/06/11	Conducted as a follow-up to CARs 11-022 through 11-027 resulting from CBFO Audit A-11-07, which had identified numerous Conditions Adverse to Quality within the WTS Records Processes.	S	S	S
				The WTS Records Processes were determined to be adequate in addressing upper-tier requirements, satisfactory in implementation of these requirements, and effective in achieving the desired results.		

Table AUD-6. Washington TRU Solutions/Nuclear Waste Partnership Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
WTS	S-12-02	10/11 – 10/13/11	Evaluated the degree of adequacy and implementation of the requirements established to support safe mine operations at the WIPP.	S	S	S
				The surveillance team concluded that the WTS Mine Safety Program and applicable procedures are adequate for compliance with upper-tier requirements and effectively implemented.		
WTS	S-12-05	12/13 – 12/15/11	Evaluated the adequacy, implementation, and effectiveness of the WTS Ground Control Program, with respect to the associated implementing procedures and revised activities since the last surveillance.	S	S	S
				The surveillance team verified that the Ground Control Program meets the approved procedural requirements and is adequate, satisfactorily implemented, and effective.		
WTS	S-12-07	09/25 – 09/27/12	Reviewed and evaluated the adequacy, implementation, and effectiveness of WTS transuranic waste operations as related to TRUPACT-III unloading operations for compliance with requirements set forth in the *TRUPACT-III Operations Manual* and the *CBFO* QAPD.	S	S	S
				The surveillance team verified that TRUPACT-III unloading operations plans and procedures adequately address upper-tier requirements, are satisfactorily implemented, and are effective. The team determined that the TRUPACT-III processes and associated activities evaluated are satisfactorily implemented and effective.		
WTS	S-12-09	12/13 – 12/15/11	Evaluated the adequacy, implementation, and effectiveness of the Subsidence Survey Data Acquisition process at the WIPP.	S	S	S
				The surveillance team determined that the WTS Subsidence Monitoring Program was adequate, satisfactorily implemented, and effective.		
WTS	S-12-11	09/18 – 09/20/12	Reviewed documentation and records, interviewed responsible personnel, and witnessed activities relative to the WTS Hazardous Communication and Control of Hazardous Chemicals/Gases Programs at the WIPP to verify compliance with applicable requirements.	S	S	S
				The results of the surveillance confirm that the requirements applicable to WTS Hazard Communication (HazCom) and Control of Hazardous Chemicals/Gases are effectively implemented and the programs achieve the desired results.		
WTS	S-12-12	02/14 – 02/16/12	Verified the adequacy and implementation of Washington TRU Solutions Regulatory and Environmental Services (WTS/RES) Waste Confirmation activities in Carlsbad, NM, and Idaho Falls, ID.	S	S	S
				The results of the surveillance indicate that the WTS/RES Permittee Waste Confirmation activities are adequately established for compliance with upper-tier requirements, satisfactory in the implementation of those requirements, and effective in achieving the desired results.		
WTS	S-12-13	03/13 – 03/14/12	Evaluated the implementation and effectiveness of the policies, plans, and procedures related to the WTS Centralized Procurement Program for procurement of items and services utilized in the operation and maintenance of the WIPP.	S	S	S
				The team determined that the WTS Centralized Procurement Program was adequately established, satisfactorily implemented, and effective.		

Table AUD-6. Washington TRU Solutions/Nuclear Waste Partnership Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
WTS	S-12-15	04/03/12	Verified adequacy and WTS implementation of Title 10 Code of Federal Regulations (CFR) Part 71, Subpart H, Quality Assurance Program, as applied to Type B containers.	S	S	S
				The surveillance team determined that the WTS 10 CFR Part 71, Subpart H, Quality Assurance Program, is adequate. The WTS procedures reviewed were found to be satisfactorily implemented and effective.		
WTS	S-12-17	04/17 – 04/19/12	Evaluated the degree of adequacy and implementation of the requirements established to support mine ventilation operations at the WIPP.	S	S	S
				The results of the surveillance indicate that the WTS Mine Ventilation Program remains adequate for compliance with upper-tier requirements and is effectively implemented.		
WTS	S-12-18	07/10 – 07/11/12	Evaluated the degree of adequacy and effective implementation of requirements associated with the WIPP Meteorological Monitoring Program.	S	S	S
				Evidence assembled and evaluated during the course of this assessment suggests that WTS meteorological activities conducted prior to the surveillance were performed appropriately and the program was achieving the desired results.		
WTS	S-12-19	05/08/12	Evaluated the WTS Environmental SDW Program implementing procedures for compliance to applicable upper-tier requirements documents.	S	S	S
				The results of the surveillance indicate that the WTS Environmental SDW Program remains adequate for compliance with upper-tier requirements, satisfactorily implemented, and effective.		
WTS	S-12-25	09/18 – 09/20/12	Evaluated the effectiveness of requirements associated with the WTS Graded Approach Program.	S	S	S
				The requirements associated with the WTS Graded Approach Program were satisfactorily implemented and achieved the desired results.		
NWP	S-13-01	11/13 – 11/14/12	Evaluated the degree of adequacy and effective implementation of the NWP, LLC/CCP Integrated Data Center (IDC) On-Line Training System for compliance with applicable requirements.	S	S	S
				The results of the surveillance indicate that although the IDC On-line Training System is not fully implemented, it remains adequate for compliance with upper-tier requirements and all elements are implemented and captured either in the IDC system or in other off-line processes.		
NWP	S-13-02	11/13 – 11/15/12	Evaluated the adequacy, implementation, and effectiveness of the NWP CMR (CMR) and TRANSCOM Operations at the WIPP site.	S	S	S
				The surveillance team determined that the NWP CMR and TRANSCOM Operations were adequate, satisfactorily implemented, and effective.		

Table AUD-6. Washington TRU Solutions/Nuclear Waste Partnership Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-13-03	12/04 – 12/06/12	Evaluated the effectiveness of requirements associated with the NWP IS&H Program.	S	S	S
				The NWP IS&H Program at WIPP was found to be adequate, satisfactorily implemented, and effective in achieving the desired results.		
NWP	S-13-07	01/29 – 01/31/13	Verified the adequacy and implementation of the NWP QA Program with respect to Type B packaging to be used at the WIPP.	S	S	S
				The surveillance team determined that the NWP 10 CFR Part 71, Subpart H, QA Program is adequate. The NWP procedures reviewed were found to be satisfactorily implemented and effective in achieving the desired results.		
NWP	S-13-11	10/10 – 10/11/12	Reviewed and evaluated the adequacy, implementation, and effectiveness of the NWP/CCP NDA waste characterization process using the Nondestructive Assay Box Counter (NABC) gamma modality with the Five Foot Setback Configuration for the purposes of characterizing and certifying CH SCGs S3000 homogeneous solids, S4000 soils/gravel, and S5000 debris wastes in 55-gallon drums.	S	S	S
				The team determined that the NABCs Five Foot Setback Configuration procedures adequately address upper-tier requirements, are satisfactorily implemented and are effective. The processes and associated activities evaluated are satisfactorily implemented and effective.		
NWP	S-13-16	01/15 – 01/17/13	Evaluated the implementation and effectiveness of selected portions of the WIPP security program established for compliance with security-related, upper-tier requirements and the CBFO QAPD.	S	S	S
				The surveillance team concluded the selected-scope of the WIPP Security Program is compliant with security-related, upper-tier requirements, and the program is adequate, satisfactorily implemented, and effective.		

Table AUD-7. Sandia National Laboratories/Carlsbad Program Group Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SNL/CPG	A-09-04	11/04 – 11/05/08	Verified the continued adequacy, implementation, and effectiveness of the SNL/CPG WIPP QA program for WIPP activities in accordance with the CBFO QAPD.	S	S	S
				The SNL/CPG WIPP QA Program was found to be adequate, satisfactorily implemented, and effective in achieving the desired results.		
SNL/CPG	A-10-09	11/16 – 11/19/09	Verified the continued adequacy, implementation, and effectiveness of the SNL/CPG WIPP QA program for WIPP activities in accordance with the CBFO QAPD.	S	S	S
				The SNL/CPG WIPP QA Program was found to be adequate, satisfactorily implemented, and effective in achieving the desired results.		
SNL/CPG	A-11-03	11/16 – 11/23/10	Verified the continued adequacy, implementation, and effectiveness of the SNL/CPG WIPP QA program for WIPP activities in accordance with the CBFO QAPD.	S	S	S
				The SNL/CPG WIPP QA Program was found to be adequate, satisfactorily implemented, and effective in achieving the desired results.		
SNL/CPG	A-12-05	12/06 – 12/08/11	Verified the continued adequacy, implementation, and effectiveness of the SNL/CPG WIPP QA program for WIPP activities in accordance with the CBFO QAPD.	S	S	S
				The SNL/CPG WIPP QA Program was found to be adequate, satisfactorily implemented, and effective in achieving the desired results.		

Table AUD-8. Savannah River Site/CCP Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SRS	A-09-01	10/28 – 10/30/08	Evaluated adequacy, implementation, and effectiveness of the SRS TRU waste characterization activities performed for SCGs S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste, including RH S5000 debris waste, in addition to other technical and quality assurance elements.	S	S	S
				SRS technical and QA programs, as applicable to the audited activities, were adequate, satisfactorily implemented, and effective for compliance with applicable upper-tier requirements.		
SRS	A-09-16	06/23 – 06/24/09	Assessed the level of compliance of waste characterization and certification activities for SCG S5000 debris waste and SCG S4000 soils/gravel waste using RTR Unit 4.	S	S	S
				The audit team concluded that the applicable SRS/CCP TRU waste characterization activities, as described in the associated implementing procedures, are adequate, satisfactorily implemented, and effective.		
SRS	A-09-17	03/24 – 03/26/09	Evaluated the adequacy, implementation, and effectiveness of the SRS/CCP TRU waste characterization and certification activities using the NABC.	S	S	S
				The audit team concluded that the applicable SRS/CCP TRU waste characterization activities, as described in the associated implementing procedures, are adequate, satisfactorily implemented, and effective.		
SRS	A-10-01	10/27 – 10/29/09	Evaluated the continued adequacy, implementation, and effectiveness of the SRS/CCP TRU waste QA and technical areas and characterization and certification activities for SCG CH S4000 soils/gravel waste and CH S5000 debris waste, including RH S5000 debris waste for waste stream SR-RL-BCLDP.001. The audit team also evaluated for initial certification CH S3000 solids waste for compliance with the requirements of the HWFP.	S	S	S
				The audit team concluded that the applicable SRS/CCP TRU waste characterization and certification activities, as described in the associated SRS/CCP *Quality Assurance Project Plan* and implementing procedures, are adequate, satisfactorily implemented, and effective.		
SRS	A-10-22	05/04 – 06/02/10	Evaluated compliance with CBFO requirements for peer reviews. The peer review evaluated during this audit was performed to qualify historical radiochemistry data analyzed by Battelle Radioanalytical Laboratory. These data were used to establish radiological properties for two waste streams currently residing at SRS.	S	S	S
				The audit team concluded that the requirements governing the performance of this peer review were adequate, satisfactorily implemented, and effective.		

Table AUD-8. Savannah River Site/CCP Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SRS	A-11-01	10/26 – 10/28/10	Evaluated the continued adequacy, implementation, and effectiveness of the SRS/CCP TRU waste characterization and certification activities as they relate to the WIPP HWFP for CH SCGs S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste, and RH SCG S3000 homogeneous solids waste and S5000 debris waste. The audit team also evaluated for initial certification the RTR Unit 4 to characterize standard large box 2s (SLB2s)and the Large Container Non-Destructive Examination (LCNDE) system to characterize SWBs and SLB2s.	S	S	S
				The audit team concluded that overall, the SRS/CCP technical and QA programs, as applicable to audited activities, were adequately established for compliance with the applicable upper-tier requirements.		
SRS	A-12-02	11/14 – 11/17/11	The audit team evaluated the continued adequacy, implementation, and effectiveness of the SRS/CCP TRU waste characterization activities for CH SCGs S3000 homogeneous solids waste, S4000 soils/gravel waste, and 85000 debris waste. The initial Certification Audit, A-12-04, for RH SCG S5000 retrievably stored debris waste was conducted concurrently with this audit.	S	S	S
				The audit team concluded that overall, the SRS/CCP technical and Waste Analysis Plan (WAP)-related QA and technical elements, as applicable to audited activities, were adequate in addressing upper-tier requirements and effective in achieving the desired results.		
SRS	A-12-04	11/14 – 11/17/11	Evaluated the adequacy, implementation, and effectiveness of the SRS/CCP TRU waste characterization and certification activities as they relate to the WIPP HWFP for RH SCG S5000 debris waste.	S	S	S
				The audit team concluded that overall, the SRS/CCP technical and QA programs, as applicable to audited activities, were adequately established for compliance with the applicable upper-tier requirements, satisfactorily implemented, and effective.		
SRS	S-08-04	12/04 – 12/06/07	Evaluated the implementation and effectiveness of the TRU waste Radiological Characterization DTC activities of the Battelle Columbus RH waste stream SR-RL-BCLDP.001, S5000 debris waste performed for SRS by WTS CCP. This surveillance was a follow-up and extension to CBFO Audit A-07-24 (Interim Report), performed July 31 through August 2, 2007. Corrective actions for CBFO CAR 07-016 were also assessed.	S	S	S
				The results of the surveillance were that, within the scope of the surveillance, the CCP procedures had been satisfactorily implemented and were effective.		

Table AUD-8. Savannah River Site/CCP Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SRS	S-09-29	06/16 – 06/17/09	Evaluated the implementation and effectiveness of the policies, plans, and procedures related to the CCP shipment of remote-handled transuranic (RH-TRU) waste from the SRS to WIPP.	S	S	S
				The surveillance team determined that the activities associated with operations necessary for the CCP's transportation of RH waste are appropriately proceduralized and effectively implemented. Personnel have received the training appropriate to their assigned tasks.		
SRS	S-10-23	03/31/10 04/21/10	Verified the adequacy and implementation of the SRS/CCP process for VE of CH S5000 debris waste at the F Canyon facility. During the annual SRS/CCP Recertification Audit A-10-01, performed in October 2009, the SRS/CCP VE facility was not yet operational and the audit team was limited to procedural and training documentation reviews.	S	S	S
				The surveillance team determined that the SRS/CCP VE operations evaluated were adequate, satisfactorily implemented, and effective.		
SRS	S-11-10	11/30 – 12/01/10	Verified the adequacy, implementation, and effectiveness of the SRS/CCP LCNDE system used for characterizing CH and RH waste in SWBs and SLB2s.	S	S	S
				The surveillance team determined that the SRS/CCP LCNDE activities evaluated were adequate, satisfactorily implemented, and effective.		
SRS	S-11-18	04/18/11	Evaluated the TRU waste characterization processes for RH SCG S5000 debris waste from waste stream SR-Rl-BClDO.002, conducted by SRS/CCP for Batelle Columbus Laboratories (BCL) drum BC0148.	S	S	S
				The results of the surveillance indicate that the TRU waste characterization activities evaluated for BCL drum BC0148 were adequate, satisfactorily implemented, and effective.		
SRS	S-11-21	07/12 – 07/13/11	Verified the adequacy, implementation, and effectiveness of the SRS/CCP LCNDE System used for characterization of the SLB2.	S	S	S
				The surveillance team determined that the SRS/CCP LCNDE activities evaluated were adequate, satisfactorily implemented, and effective.		
SRS	S-11-23	08/22 – 08/25/11	Verified the adequacy, implementation, and effectiveness of TRUPACT-III Transportation operations activities.	S	S	S
				The surveillance team determined that the TRUPACT-III procedures reviewed were adequate and that processes and associated activities were satisfactorily implemented and effective.		

Table AUD-9. Carlsbad Field Office Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
CBFO	A-08-08	02/04 – 02/07/08	Evaluated the adequacy, implementation, and effectiveness of selected QA processes related to the CBFO QA Program. The audit included NQA-1-1989 Criteria 1-9.	S	S	S
				The audit team concluded that overall, the CBFO QAPD is adequate relative to the flow-down of requirements from the NQA-1-1989 edition, and the associated CBFO implementing procedures are adequate relative to the flow-down of requirements of the CBFO QAPD, and are satisfactorily implemented and effective.		
CBFO	A-08-20	05/06 – 05/07/08	Evaluated the adequacy, implementation, and effectiveness of technical and QA activities related to the Performance Demonstration Program (PDP).	S	S	S
				The audit team concluded that the PDP QA program was adequate for the work performed and was implemented in accordance with the required program documents. The technical areas evaluated were determined to be effective.		
CBFO	A-08-23	06/03 – 06/05/08	Evaluated the adequacy, implementation, and effectiveness (where applicable) of selected QA processes related to the CBFO QA Program. The audit included the NQA-1-1989 Criteria 10-18.	S	S	S
				The audit team concluded that overall, with the exception of the program element for the management of QA records, the CBFO QAPD is adequate relative to the flow-down of requirements from the NQA-1-1989 Edition, and the associated CBFO implementing procedures are adequate relative to the flow-down of requirements from the CBFO QAPD. The audit team also concluded the defined CBFO QA Program is satisfactorily implemented and effective.		
CBFO	A-09-11	02/10 – 02/12/09	Evaluated the adequacy, implementation, and effectiveness of selected QA processes related to the CBFO QA Program. The audit included NQA-1-1989 Criteria 1-9.	S	S	S
				The audit team concluded that overall, the CBFO QAPD is adequate relative to the flow-down of requirements from the NQA-1-1989 edition, and the associated CBFO implementing procedures are adequate relative to the flow-down of requirements of the CBFO QAPD, and are satisfactorily implemented and effective.		
CBFO	A-09-20	09/01 – 09/03/09	Evaluated the adequacy, implementation, and effectiveness (where applicable) of selected QA processes related to the CBFO QA Program. The audit included the NQA-1-1989 Criteria 10-18.	S	S	S
				The audit team concluded that overall, the CBFO QAPD is adequate relative to the flow-down of requirements from the NQA-1-1989 Edition, and the associated CBFO implementing procedures are adequate relative to the flow-down of requirements from the CBFO QAPD.		

Table AUD-9. Carlsbad Field Office Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
CBFO	A-10-13	05/25 – 05/27/10	The scope of the audit included evaluations of CBFO processes governing oversight activities and associated records used to meet the requirements of DOE Order 226.1A. Compliance with the CBFO QA program was also included in the scope, as applicable to these activities.	S	S	S
				The audit team concluded that CBFO implementation of DOE Order 226.1A, both internal to CBFO and of external contractor organizations, was adequately documented, satisfactory, and effective.		
CBFO	A-10-15	05/04 – 05/06/10	Evaluated the adequacy, implementation, and effectiveness of QA processes related to the CBFO QA Program. The audit included NQA-1-1989 Criteria 1-18; NQA-2a-1990 addenda, Subpart 2.7, for software quality assurance; and CBFO National Environmental Policy Act (NEPA) Process	S	S	S
				The audit team concluded that overall the CBFO QAPD is adequate relative to the flow-down of requirements of NQA-1-1989 and NQA-2a-1990 addenda. Subpart 2.7, satisfactory, and effective. The associated CBFO implementing procedures are also adequate relative to the f1ow-down of requirements from the CBFO QAPD.		
CBFO	A-11-15	05/03 – 05/05/11	Evaluated the adequacy, implementation, and effectiveness of QA processes related to the CBFO QA Program. The audit included NQA-1-1989 Criteria 1-18; NQA-2a-1990 addenda, Subpart 2.7, for software quality assurance; and CBFO NEPA Process	S	S	S
				The audit team concluded that overall the defined CBFO QA Program is adequate, satisfactorily implemented, resulting in an effective QA Program.		
CBFO	A-11-22	09/19 – 09/22/11	Evaluated the adequacy, implementation, and effectiveness of technical and QA activities related to the PDP.	S	S	S
				The audit team concluded that the PDP QA program was adequate for the work performed and was implemented in accordance with the program documents. The technical areas evaluated were determined to be effective.		
CBFO	A-12-19	05/22 – 05/31/12	Evaluated the adequacy, implementation, and effectiveness of QA processes related to the CBFO QA Program. The audit included NQA-1-1989 Criteria 1-18; NQA-2a-1990 addenda, Subpart 2.7, for software quality assurance; and CBFO NEPA Process	S	S	S
				The audit team concluded that overall, the CBFO QAPD is adequate relative to the flow-down of requirements of NQA-1-1989 and NQA-2a-1990 addenda, Subpart 2.7. The associated CBFO implementing procedures are also adequate, satisfactorily implemented and effective.		
CBFO	S-09-16	05/19 – 05/20/09	Evaluated the degree of adequacy, implementation, and effectiveness of the CBFO Office of Site Operations (OSO) operational assessment process defined in CBFO Team Procedure 10.7.	S	S	S
				The surveillance team determined that the OSO operational assessment activities were adequate with respect to the upper-tier requirements, and were satisfactorily implemented and effective.		

Table AUD-9. Carlsbad Field Office Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
CBFO	S-09-37	09/15 – 09/22/09	Evaluated the implementation and effectiveness of selected requirements within the CBFO NDA PDP as they apply to NDA source custodians and sample preparation team members at selected TRU waste generating sites.	S	S	S
				The results of the surveillance indicate that the NDA PDP is adequate and the requirements applicable to the activities of source custodians and sample preparation teams are satisfactorily implemented at the TRU waste sites visited during the surveillance.		

Table AUD-10. Oak Ridge National Laboratory Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
ORNL	A-08-12	06/30 – 07/02/08	Evaluated the adequacy, implementation, and effectiveness of the ORNL/CCP TRU waste characterization activities for SCG S5000 RH debris waste stream OR-REDC-RH-HET.	S	S	S
				The audit team concluded that the applicable ORNL/CCP TRU waste characterization activities, as described in the associated ORNL/CCP implementing procedures, are satisfactory in meeting the requirements of the HWFP resulting in an effective program.		
ORNL	A-09-07	01/13 – 01/15/09	Evaluated the continued adequacy, implementation, and effectiveness of the ORNL/CCP TRU waste characterization activities for SCG S5000 CH debris waste.	S	S	S
				The audit team concluded that the applicable ORNL/CCP TRU waste characterization activities, as described in the associated ORNL/CCP implementing procedures, are adequate, satisfactory in meeting the requirements of the HWFP resulting in an effective program.		
ORNL	A-09-22	06/23 – 06/25/09	Evaluated the continued adequacy, implementation, and effectiveness of the ORNL/CCP TRU waste characterization activities for SCG S5000 RH debris waste stream OR-REDC-RH-HET.	S	S	S
				The audit team concluded that overall, the applicable ORNL/CCP TRU waste characterization activities for RH SCG S5000 debris waste, as described in the implementing procedures, are adequate, satisfactorily implemented and effective.		
ORNL	A-09-24	07/28 – 07/30/09	Evaluated the adequacy, implementation, and effectiveness of the ORNL/CCP technical processes and related QA program elements of the TRU waste characterization and certification activities for CH S4000 soils/gravel waste.	S	S	S
				The audit team concluded that the applicable ORNL/CCP QA Program elements and TRU waste characterization activities, as described in the associated implementing procedures adequately meet the requirements of the CBFO QAPD and the HWFP. The audit team also concluded that the ORNL/CCP technical processes and related QA Program elements are adequate, satisfactorily implemented, and effective.		
ORNL	A-10-08	02/09 – 02/11/10	Evaluated the continued adequacy, implementation, and effectiveness of the ORNL/CCP TRU waste characterization activities for SCG S5000 RH and CH debris waste and SCG S4000 CH soils waste.	S	S	S
				The audit team concluded that overall, the applicable ORNL/CCP TRU waste characterization activities for RH and CH SCG S5000 debris waste and CH SCG S4000 soils waste, as described in the implementing procedures, are adequate, satisfactorily implemented, and effective.		
ORNL	A-11-08	02/08 – 02/10/11	Evaluated the continued adequacy, implementation, and effectiveness of the ORNL/CCP TRU waste characterization activities for SCG 55000 RH and CH debris waste and SCG S4000 CH soils/gravel waste.	S	S	S
				The audit team concluded that overall, the applicable ORNL/CCP TRU waste characterization activities for RH and CH SCG S5000 debris waste and CH SCG S4000 soils/gravel waste, as described in the implementing procedures, were adequate, satisfactorily implemented, and effective.		

Table AUD-10. Oak Ridge National Laboratory Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
ORNL	A-12-08	03/27 – 03/29/12	The audit team evaluated documentation to verify continued adequacy, implementation, and effectiveness of the ORNL/CCP TRU waste characterization activities for RH and CH SCG S5000 debris waste and CH SCG S4000 soil/gravel waste.	S	I	I
				The audit team concluded that for the documentation reviewed, the applicable activities as described in the implementing procedures were adequate, satisfactorily implemented, and effective.The audit team was unable to evaluate HSG sampling, RTR, VE, NDA, and DTC characterization activities in the field, or verify personnel and equipment were available to continue characterization activities due to the suspension of activities and funding at ORNL. For this reason, these processes were deemed indeterminate for continuing waste characterization activities at the ORNL. Once activities resume at ORNL an audit will be performed to recertify characterization activities at ORNL.		
ORNL	S-09-17	06/20 – 07/02/08	As a follow-up to Audit A-08-12, the surveillance team evaluated the documentation establishing that a QA program equivalent in effect to the NQA standards was applied to radiochemical measurements used to develop the isotopic scaling factors used by ORNL/CCP for characterization of RH waste.	S	S	S
				The surveillance team concluded that the radiochemical measurements were conducted in accordance with a QA program equivalent in effect to the NQA standards applicable to the WIPP. Upon issuance of Revision I, Draft J of CCP-AK-LANL-503 as a final document, the QA equivalency documentation for the radiochemical measurements performed by ORNL will be adequate, satisfactorily implemented, and effective. CCP-AK-LANL-503 was issued 7/21/06.		
ORNL	S-11-14	02/22/11	Observed and evaluated the RH SCG S5000 debris waste sampling and analysis processes being used at the ORNL/CCP in support of characterization of waste containers to be shipped to the WIPP.	S	S	S
				The results of the surveillance indicate that the ORNL/CCP activities related to RH Waste Sampling and Analysis operations are adequate, satisfactorily implemented, and effective.		
ORNL	S-11-16	03/29/11	Evaluated the ORNL/CCP transition from the obsolete Gamma Waste Assay System (GWAS) software for NDA 103 equipment to the new NDA 2000 software package and the implementation of and compliance to revised NDA 103 procedures.	S	S	S
				The results of the surveillance indicate that the ORNL/CCP transition to and implementation of the NDA 2000 software for the NDA 103 measurement system was adequate, satisfactorily implemented, and effective.		

Table AUD-11. Advanced Mixed Waste Treatment Project Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
AMWTP	A-08-09	06/24 – 06/25/08	Evaluated continued adequacy, implementation, and effectiveness of the Advanced Mixed Waste Treatment Project (AMWTP) QA program and the technical processes related to AMWTP characterization and certification activities for CH SCG S3000 homogeneous solids and CH SCG S5000 debris wastes	S	S	S
				The audit team concluded that the applicable AMWTP container-in-container solids sampling activities, as described in the associated AMWTP implementing procedure, are adequate, satisfactorily implemented, and effective in meeting the requirements of the HWFP.		
AMWTP	A-08-19	09/08 – 09/11/08	Evaluated continued adequacy, implementation, and effectiveness of the AMWTP QA program and the technical processes related to AMWTP characterization and certification activities for CH SCG S3000 homogeneous solids and CH SCG S5000 debris wastes.	S	S	S
				The audit team concluded that the applicable AMWTP waste characterization activities/QA and technical processes, as described in the associated implementing procedures, continue to adequately meet the requirements of the HWFP.		
AMWTP	A-09-19	08/18 – 08/20/09	Evaluated continued adequacy, implementation, and effectiveness of the AMWTP QA program and the technical processes related to AMWTP characterization and certification activities for CH SCG S3000 homogeneous solids and CH SCG S5000 debris wastes.	S	S	S
				The audit team concluded that the applicable AMWTP waste characterization activities/QA and technical processes, as described in the associated implementing procedures, continue to adequately meet the requirements of the HWFP.		
AMWTP	A-10-24	08/23 – 08/26/10	Evaluated continued adequacy, implementation, and effectiveness of the AMWTP QA program and the technical processes related to AMWTP characterization and certification activities for CH SCG S3000 homogeneous solids and CH SCG S5000 debris wastes.	S	S	S
				The audit team concluded that the applicable AMWTP waste characterization activities/QA and technical processes as described in the associated implementing procedures, continue to adequately meet the requirements of the HWFP.		
AMWTP	A-12-03	11/01 – 11/03/11	Evaluated continued adequacy, implementation, and effectiveness of the AMWTP QA program and the technical processes related to AMWTP characterization and certification activities for CH SCG S3000 homogeneous solids and CH SCG S5000 debris wastes.	S	S	S
				The audit team concluded that the applicable AMWTP waste characterization activities/ QA and technical processes, as described in the associated implementing procedures, continue to adequately meet the requirements of the HWFP.		
AMWTP	A-13-01	10/15 – 10/18/12	Evaluated continued adequacy, implementation, and effectiveness of the AMWTP QA program and the technical processes related to AMWTP characterization and certification activities for CH SCG S3000 homogeneous solids and CH SCG S5000 debris wastes.	S	S	S
				The audit team concluded that the applicable AMWTP waste characterization activities/ QA and technical processes, as described in the associated implementing procedures, continue to adequately meet the requirements of the HWFP.		

Table AUD-11. Advanced Mixed Waste Treatment Project Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
AMWTP	S-11-30	08/30/11	Observed and evaluated the AMWTP VE operations performed at INL for characterizing SCG S3000 CH homogeneous solids waste.	S	S	S
				The results of the surveillance indicate that the AMWTP activities related to VE of CH SCG S3000 waste using the equipment and procedures examined and subject to the measurement controls in place are adequately established for compliance with upper-tier requirements, satisfactory in the implementation of the requirements, and effective in achieving the desired results.		

Table AUD-12. Argonne National Laboratory Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
ANL	A-08-03	05/28 – 05/29/08	Evaluated the adequacy, implementation, and effectiveness of the ANL/CCP RH SCG S5000 debris TRU waste characterization QA and technical activities.	S	S	S
				The audit team concluded that overall, the applicable ANL/CCP TRU waste characterization activities for RH SCG S5000 debris waste, as described in the implementing procedures, are adequate, satisfactorily implemented, and effective.		
ANL	A-08-24	08/05 – 08/07/08	Evaluated the continued adequacy, implementation, and effectiveness of the ANL/CCP RH SCG S5000 debris TRU waste characterization QA and technical activities.	S	S	S
				The audit team concluded that overall, the applicable ANL/CCP TRU waste characterization activities for RH SCG S5000 debris waste, as described in the implementing procedures, are adequate, satisfactorily implemented, and effective.		
ANL	A-09-21	08/04 – 08/06/09	Evaluated the continued adequacy, implementation, and effectiveness of the ANL/CCP RH SCG S5000 debris TRU waste characterization QA and technical activities.	S	S	S
				The audit team concluded that overall, the applicable ANL/CCP TRU waste characterization activities for RH SCG S5000 debris waste, as described in the implementing procedures, are adequate, satisfactorily implemented, and effective.		
ANL	A-10-23	08/03 – 08/05/10	Evaluated the continued adequacy, implementation, and effectiveness of the ANL/CCP RH SCG S5000 debris TRU waste characterization QA and technical activities.	S	S	S
				The audit team concluded that overall, the applicable ANL/CCP TRU waste characterization activities for RH SCG S5000 debris waste, as described in the implementing procedures, are adequate, satisfactorily implemented, and effective. *Note The gravimetric or dimensional measurement process was deemed indeterminate due to insufficient documentation. A surveillance will be performed for evaluation at a later date		
ANL	A-11-20	08/02 – 08/04/11	Evaluated the continued adequacy, implementation, and effectiveness of the ANL/CCP RH SCG S5000 debris TRU waste characterization QA and technical activities.	S	S	S
				The audit team concluded that overall, the applicable ANL/CCP TRU waste characterization activities for RH SCG S5000 debris waste, as described in the implementing procedures, are adequate, satisfactorily implemented, and effective.		
ANL	A-12-16	08/28 – 08/30/12	Evaluated the continued adequacy, implementation, and effectiveness of the ANL/CCP RH SCG S5000 debris TRU waste characterization QA and technical activities.	S	S	S
				The audit team concluded that overall, the applicable ANL/CCP TRU waste characterization activities for ANL/CCP RH waste, as described in the implementing procedures, are adequate, satisfactorily implemented, and effective.		

Table AUD-12. Argonne National Laboratory Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
ANL	S-10-15	01/12 – 01/14/10	Evaluated the activities associated with RH waste sampling and VE at Building 205 – ANL site.	S	S	S
				The results of the surveillance indicate that the ANL/CCP activities related to RH sampling and VE characterization operations are adequate, satisfactory, and effective in the Building 205 location.		
ANL	S-11-06	03/08 – 03/09/11	Evaluated ANL/CCP's ability to perform gravimetric or dimensional measurement of RH debris waste SCG S5000 Fuel Examination Waste (FEW) material for certification and subsequent disposal at the WIPP.	S	S	S
				The surveillance team deemed the gravimetric or dimensional measurement process to be adequate, satisfactorily implemented and effective.		

Table AUD-13. Bettis Atomic Power Laboratory Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
Bettis Atomic Power Laboratory (BAPL)	A-11-12	04/19 – 04/21/11	Evaluated the adequacy, implementation, and effectiveness of BAPL/CCP TRU waste characterization activities performed for RH SCG S5000 debris waste. Activities were evaluated relative to the WIPP HWFP and the CBFO QAPD.	S	S	S
				BAPL/CCP technical and QA programs, as applicable to the audited activities, were adequate, satisfactorily implemented, and effective for compliance with applicable upper-tier requirements.		
BAPL	A-12-10	4/24 – 04/26/12	Evaluated the adequacy, implementation, and effectiveness BAPL/CCP TRU waste characterization activities performed for RH SCG S5000 debris waste.	S	S	S
				BAPL/CCP technical and QA programs, as applicable to the audited activities, were adequate, satisfactorily implemented, and effective for compliance with applicable upper-tier requirements.		
BAPL	S-10-37	9/21 – 09/22/10	Observed and evaluated the VE and radiological sampling processes being used at the BAPL/CCP in support of characterization of waste containers to be shipped to the WIPP.	S	S	S
				The results of the surveillance indicate that the BAPL/CCP activities related to VE and radiological sampling operations are adequate, satisfactorily implemented, and effective		
BAPL	S-11-08	12/7 – 12/8/10	Observed and evaluated the HSGS and DTC processes being used at the BAPL/CCP in support of characterization of waste containers to be shipped to the WIPP.	S	S	S
				The results of the surveillance indicate that the BAPL/CCP characterization activities related to HSGS and DTC operations are adequate, satisfactorily implemented, and effective.		

Table AUD-14. Sandia National Laboratories/CCP Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SNL/CCP	A-11-23	7/13 – 07/15/11	Evaluated the adequacy, implementation, and effectiveness of the QA and technical processes and requirements controlling SNL/CCP TRU waste characterization activities for RH SCG S5000 debris waste.	S	S	S
				The audit team concluded that with the exception of RH/DTC the SNL/CCP TRU waste characterization program is adequate, satisfactorily implemented, and effective for compliance with the requirements of the HWFP. A follow-up surveillance (S-12-04) was later conducted to evaluate RH/DTC.		
SNL/CCP	S-11-15	3/30 – 03/31/11	Observed and evaluated the VE and radiological sampling processes being used at the SNL/CCP in support of characterization of SCG S5000 RH debris waste containers to be shipped to WIPP.	S	S	S
				The results of the surveillance indicate that the SNL/CCP activities related to radiological sampling operations are adequate, satisfactorily implemented, and effective.		
SNL/CCP	S-11-20	5/16/11	Observed and evaluated the VE, HSGS, and DTC used at the SNL/CCP in support of characterization of RH SCG S5000 debris waste containers to be shipped to WIPP.	S	S	S
				The results of the surveillance indicate that the SNL/CCP activities related to VE, HSGS, and DTC operations are adequate, satisfactorily implemented, and effective.		
SNL/CCP	S-12-04	11/09/11	This surveillance was performed to close out the radiological characterization (RH/DTC) portion of Audit A-11-23.	S	S	S
				The surveillance team concluded that the radiological waste characterization components evaluated were adequate, satisfactorily implemented, and effective. This surveillance satisfactorily closed out the radiological characterization (RH/DTC) portion of Audit A-11-23.		

Table AUD-15. Supplier Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
CAST Specialty Transportation, Inc. (CAST)	S-09-02	12/09 – 12/10/08	Evaluated the implementation and effectiveness of CAST for compliance with the Department Of Energy (DOE) Contract and upper-tier requirement documents.	S	S	S
				The surveillance team concluded that CAST had satisfactorily implemented the requirements of the DOE Contract and Department of Transportation (DOT) regulatory requirements. Implementation of regulatory and contractual requirements was considered adequate and effective.		
CAST	S-10-06	12/15 – 12/16/09	Evaluated the implementation and effectiveness of CAST for compliance with the DOE Contract and upper-tier requirement documents.	S	S	S
				The surveillance team concluded that CAST had satisfactorily implemented the requirements of the DOE Contract and DOT regulatory requirements. Implementation of regulatory and contractual requirements was considered adequate and effective.		
CAST	S-11-05	12/14/10	Evaluated the implementation and effectiveness of CAST for compliance with the DOE Contract and upper-tier requirement documents.	S	S	S
				The surveillance team concluded that CAST had satisfactorily implemented the requirements of the DOE Contract and DOT regulatory requirements. Implementation of regulatory and contractual requirements was considered adequate and effective.		
CAST	S-12-06	03/06/12	Evaluated the implementation and effectiveness of CAST for compliance with the DOE Contract and upper-tier requirement documents.	S	S	S
				The surveillance team concluded that CAST had satisfactorily implemented the requirements of the DOE Contract and DOT regulatory requirements. Implementation of regulatory and contractual requirements was considered adequate and effective.		
Culebra	S-08-17	08/11 – 08/14/08 and 9/30 – 9/31/08	Evaluated the adequacy, implementation, and effectiveness of associated requirements governing the performance of the peer review process. The peer review was conducted to evaluate the Culebra Hydrogeology Conceptual Model.	S	S	S
				This surveillance team concluded the performance of the Peer Review adequately incorporated upper-tier requirements and the requirements were satisfactorily implemented and effective.		
L&M Records Services	S-08-15	08/18 – 08/21/08	Evaluated the implementation and effectiveness of the Project Records Services (PRS) process performed by L&M Technologies.	S	S	S
				The surveillance team determined that PRS activities were adequately proceduralized, and the procedures were satisfactorily implemented and were effective.		
SM Stoller Records	S-09-36	08/25 – 08/27/09	Evaluated the implementation and effectiveness of the WIPP Records Management Services (WRMS) process performed by S. M. Stoller Corporation for WTS.	S	S	S
				The surveillance team determined that WRMS activities were satisfactorily implemented, adequate, and effective.		

Table AUD-15. Supplier Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SM Stoller Records	S-10-36	09/07 – 09/09/10	Evaluated the implementation and effectiveness of activities performed by the S. M. Stoller Corporation for WTS at the CBFO/WIPP Records Holding Facility (RHF) in Carlsbad, NM.	S	S	S
				Overall, the surveillance team determined that the applicable requirements for activities performed at the CBFO/WIPP RHF were satisfactorily implemented and effective.		
Visionary Solutions	S-08-06	01/29 – 01/30/08	Reviewed and evaluated the implementation and effectiveness of Visionary Solutions, LLC compliance with the DOE Contract and upper-tier requirement documents.	S	S	S
				The surveillance team concluded that Visionary Solutions has satisfactorily implemented the requirements of the DOE Contract and DOT regulatory requirements. Implementation of regulatory and contractual requirements was considered adequate and effective.		
Visionary Solutions	S-09-10	02/03 – 02/04/09	Reviewed and evaluated the implementation and effectiveness of Visionary Solutions, LLC compliance with the DOE Contract and upper-tier requirement documents.	S	S	S
				The surveillance team concluded that Visionary Solutions has satisfactorily implemented the requirements of the DOE Contract and DOT regulatory requirements. Implementation of regulatory and contractual requirements was considered adequate and effective.		
Visionary Solutions	S-10-18	03/16 – 03/17/10	Reviewed and evaluated the implementation and effectiveness of Visionary Solutions, LLC, compliance with the DOE Contract and upper-tier requirement documents.	S	S	S
				The surveillance team concluded that Visionary Solutions has satisfactorily implemented the requirements of the DOE Contract and DOT regulatory requirements. Implementation of regulatory and contractual requirements was considered adequate and effective.		
Visionary Solutions	S-11-12	03/22 – 03/23/11	Reviewed and evaluated the implementation and effectiveness of Visionary Solutions, LLC, compliance with the DOE Contract and upper-tier requirement documents.	S	S	S
				The surveillance team concluded that Visionary Solutions has satisfactorily implemented the requirements of the DOE Contract and DOT regulatory requirements. Implementation of regulatory and contractual requirements was considered adequate and effective.		
Visionary Solutions	S-12-14	03/20/12	Reviewed and evaluated the implementation and effectiveness of Visionary Solutions, LLC compliance with the DOE Contract and upper-tier requirement documents.	S	S	S
				The surveillance team concluded that Visionary Solutions has satisfactorily implemented the requirements of the DOE Contract and DOT regulatory requirements. Implementation of regulatory and contractual requirements was considered adequate and effective.		

AUD-2.0 References

(*Indicates a reference that has not been previously submitted.)

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