40 CFR Part 191
Subparts B and C
Compliance Recertification Application 2026
for the
Waste Isolation Pilot Plant

Appendix AUD-2026
Audits and Surveillances

United States Department of Energy
Waste Isolation Pilot Plant

Carlsbad Field Office
Carlsbad, New Mexico

Compliance Recertification Application 2026
Appendix AUD-2026

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ACRONYMS AND ABBREVIATIONS

A	adequate
ACRSP	Actinide Chemistry and Repository Science Program
AK	acceptable knowledge
AMWTP	Advanced Mixed Waste Treatment Project
ANL	Argonne National Laboratory
APTIM	APTIM Federal Service LLC
AR/VR	Approval Request/Variance Request
BDR	Batch Data Report
CAA	Critical Applications Alliance
CAQ	condition adverse to quality
CAR	corrective action report
CAS	Contractor Assurance System
CAST	CAST Specialty Transportation, Inc.
CBFO	Carlsbad Field Office
CCP	Central Characterization Program
CEMRC	Carlsbad Environmental Monitoring and Research Center
CFR	Code of Federal Regulations
CGID	Commercial Grade Item Dedication
CH	contact-handled
CH TRU	contact-handled transuranic
CMR	Central Monitoring Room
CRA	Compliance Recertification Application
DG	Dimensional/Gravimetric Measurement
DOE	U.S. Department of Energy
DP	Discharge Permit
DSA	Documented Safety Analyses
DTC	dose-to-curie
E	effective
FGA	flammable gas analysis
GGT	gas generation testing

GSTR	Generator Site Technical Review
HE	high-energy
HENC	High Efficiency Neutron Counter
I	indeterminate
iCAS	Integrated CAS (Contractor Assurance System)
ICE	Issue Collection and Evaluation
INL	Idaho National Laboratory
LANL	Los Alamos National Laboratory
LANL-CO	Los Alamos National Laboratory – Carlsbad Operations
LLNL	Lawrence Livermore National Laboratory
M	marginal
M&O	management and operating
n/a	not applicable
NA	not adequate
NDA	nondestructive assay
NE	not effective
NESHAP	National Emission Standards for Hazardous Air Pollutants
NFB	New Filter Building
NFT-EPD	Nuclear Filter Technology-Engineered Products Division
NQA	Nuclear Quality Assurance
NWP	Nuclear Waste Partnership LLC
ORNL	Oak Ridge National Laboratory
PA	performance assessment
Permit	WIPP Hazardous Waste Facility Permit
PO	purchase order
PVS	Permanent Ventilation System
QA	quality assurance
QAPD	Quality Assurance Program Document
QSL	Qualified Supplier List
RADCON	Radiological Control
RES	Regulatory and Environmental Services

RH	remote-handled
RH TRU	remote-handled transuranic
RTR	real-time radiography
S	satisfactory
SCG	Summary Category Group
SGS	segmented gamma scanner
SIMCO	Salado Isolation Mining Contractors
SNL	Sandia National Laboratories
SNL/CPG	Sandia National Laboratories/Carlsbad Programs Group
SQA	software quality assurance
SRS	Savannah River Site
SS	Safety Significant
SSCVS	Safety Significant Confinement Ventilation System
TA	Technical Area
TIC	The Industrial Company
TRU	transuranic
U	unsatisfactory
V&V	Validation and Verification
VE	visual examination
VOC	volatile organic compound
WAC	Waste Acceptance Criteria
WCPIP	Waste Characterization Program Implementation Plan
WCRRF	Waste Characterization, Reduction, and Repackaging Facility
WDS	Waste Data System
WIPP	Waste Isolation Pilot Plant
WWIS	WIPP Waste Information System

AUD-1.0 INTRODUCTION

This appendix to the 2026 Compliance Recertification Application (CRA-2026) summarizes the U.S. Department of Energy (DOE) Carlsbad Field Office (CBFO) assessments (i.e., audits and surveillances) performed on Waste Isolation Pilot Plant (WIPP) participant organizations. Assessments determine and document whether items, activities, processes, or services conform to specified requirements. The CBFO Quality Assurance (QA) program, governed by the CBFO QA Program Document (QAPD) (U.S. DOE 2017, 2023), manages these assessments to demonstrate compliance with the requirements of 40 Code of Federal Regulations (CFR) 194.22.

There are 14 tables in this appendix, Tables AUD-1 through AUD-14, summarizing assessments performed on the following WIPP participant organizations during the CRA-2026 reporting period (January 8, 2019, through January 9, 2025):

- Transuranic (TRU) waste generator sites: Idaho National Laboratory (INL) in Table AUD-1; Los Alamos National Laboratory (LANL) in Table AUD-2; Sandia National Laboratories (SNL) in Table AUD-3; Savannah River Site (SRS) in Table AUD-4; Oak Ridge National Laboratory (ORNL) in Table AUD-5; Advanced Mixed Waste Treatment Project (AMWTP) in Table AUD-6; Argonne National Laboratory (ANL) in Table AUD-7; and Lawrence Livermore National Laboratory (LLNL) in Table AUD-8
- LANL–Carlsbad Operations (LANL-CO) in Table AUD-9
- Management and operating (M&O) contractors: Nuclear Waste Partnership (NWP) in Table AUD-10, followed by Salado Isolation Mining Contractors (SIMCO)[1] in Table AUD-11
- SNL-Carlsbad Programs Group (SNL/CPG) in Table AUD-12
- CBFO in Table AUD-13
- Supplier performing quality-affecting work in Table AUD-14

Several summary tables include assessments that predated the CRA-2026 reporting period, as the respective assessment reports had not been finalized during the preparation of Appendix AUD-2019.

As defined in the CBFO QAPD, an audit is a planned and documented independent assessment that determines, by investigation, examination, or evaluation of objective evidence, the adequacy of and compliance with established procedures, instructions, drawings, and other applicable documents, and the effectiveness of implementation. A surveillance verifies whether an item, activity, system, or process conforms to specified requirements. Adequacy addresses the flow-down or incorporation of requirements from upper-tier program documents (e.g., CBFO QAPD, WIPP Hazardous Waste Facility Permit, CFRs, DOE Orders, etc.) into implementing procedures. Implementation is the extent of compliance with procedures. Effectiveness is a determination of whether the controls established in the implementing procedure produce the

[1] On February 3, 2023, the WIPP M&O contract was changed from NWP DE-EM0001971 to SIMCO 89303322DEM000077.

desired results or end product. The CBFO assessment team performed all audits and surveillances in accordance with the requirements in place at the time of the activity.

The summary tables identify the organization assessed, the assessment number (A-XX-XX or QAD-A-XX-XX for audits and S-XX-XX or QAD-S-XX-XX for surveillances), the assessment scope, and the assessment results. The CBFO assessment team expressed audit results as “adequate” (A) or “not adequate” (NA) for adequacy, “satisfactory” (S) or “unsatisfactory” (U) for implementation, and “effective” (E) or “not effective” (NE) for effectiveness. Audit results can also be “marginal” (M) when a characteristic of a program, product, or activity cannot meet the minimal applicable requirements of adequacy, implementation, and/or effectiveness, or “indeterminate” (I) when the DOE QA assessment team cannot verify these characteristics during an assessment. Audits resulting in A, S, and E indicate that, overall, the associated implementing plans and procedures are adequately established for compliance with the regulations and upper-tier requirements, and the implementation is satisfactory and effective in achieving the desired results. Excluding the adequacy determination, surveillances resulting in S and E indicate that the implementation is satisfactory and effective in achieving the desired result. The summary tables include additional explanations for assessments with results other than A, S, and E for audits and S and E for surveillances (i.e., NA, U, NE, M, and I). 223

Assessments may also identify conditions adverse to quality (CAQs) resulting in the issuance of corrective action reports (CARs), deficiencies corrected during the audit, observations, recommendations, and/or strengths. The summary tables (AUD-1 through AUD-14) only list CAQs with CARs by their CAR numbers, and most of them have been closed (i.e., corrective measures approved, completed, and verified) by the end of the CRA-2026 reporting period.

Appendix AUD-2026 summarizes all CBFO assessment activities directly related to 40 CFR Parts 191 (U.S. EPA 1993) and 194 (U.S. EPA 1996) and CBFO assessments performed in other critical areas that affect 40 CFR Parts 191 and 194. The critical areas include those necessary to provide adequate protection to the public, workers, and the environment.

Table AUD-1. Idaho National Laboratory Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
INL/CCP	A-19-06	12/17 – 12/19/18	Evaluated the continued adequacy, implementation, and effectiveness of established programs for characterizing contact-handled (CH) Summary Category Groups (SCGs) S3000 homogeneous solids, S4000 soils/gravel, and S5000 debris waste, performed through the Central Characterization Program (CCP), in accordance with the requirements of the WIPP Hazardous Waste Facility Permit (Permit) and CBFO QAPD.	A	S I (SCGs S4000 and S5000 AK)	E I (SCGs S4000 and S5000 AK)
				Since the completed enhanced acceptable knowledge (AK) products for SCG S4000 soils/gravel and SCG S5000 debris waste were not available for review by the audit team, the for these SCGs was deemed indeterminate.		
INL/CCP	A-20-06	12/10-12/12/19	Evaluated the continued adequacy, implementation, and effectiveness of established programs for characterizing CH SCGs S3000 solids, S4000 soils/gravel, and S5000 debris waste, performed by the INL/CCP, in accordance with the requirements of the Permit, CBFO QAPD, Transuranic Waste Acceptance Criteria for the Waste Isolation Pilot Plant (WAC), and the Waste Isolation Pilot Plant Documented Safety Analysis (DSA), Chapter 18.	A	S	E
				CAR 20-008		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
fINL/CCP	A-21-05	01/26-01/28/21	Evaluated the continued adequacy, implementation, and effectiveness of established programs for characterizing CH SCGs S3000 solids, S4000 soils/gravel, and S5000 debris waste, performed by the INL/CCP, in accordance with the requirements of the Permit, CBFO QAPD, WAC, and DSA, Chapter 18.	A	S I (GGT)	E I (GGT)
				Gas Generation Testing (GGT) characterization activities for characterizing CH SCGs S3000 solids, S4000 soils/gravel, and S5000 debris waste had not been performed, nor Batch Data Reports (BDRs) generated, for an extended period of time due to inactivity or waste available to characterize for this process. Therefore, the waste certification and characterization activities associated with the GGT equipment were deemed indeterminate. CAR 21-010		
INL/CCP	A-21-28	02/23 – 02/25/21	Evaluated the adequacy, implementation, and effectiveness of established programs for characterizing remote-handled (RH) TRU SCGs S3000 solids and S5000 debris waste, performed by the INL/CCP, in accordance with the requirements of the Permit, CBFO QAPD, WAC, and DSA, Chapter 18.	A	S I (RTR and WWIS/WDS)	E I (RTR and WWIS/WDS)
				The audit team did not evaluate field activities specifically for the Real-Time Radiography (RTR) process for characterizing RH TRU SCGs S3000 solids and S5000 debris waste due to an ongoing upgrade of the RTR equipment at the INL facility; therefore, the implementation and effectiveness of the RTR process were deemed indeterminate. Additionally, the implementation and effectiveness of the WIPP Waste Information System (WWIS)/Waste Data System (WDS) process were deemed indeterminate due to inactivity in both SCGs.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
INL/CCP	A-22-07	02/15–02/17/22	Evaluated the continued adequacy, implementation, and effectiveness of established programs for characterizing RH TRU SCGs S3000 solids and S5000 debris waste, including a population of previously certified RH TRU waste containers in the WWIS/WDS. The audit team also evaluated areas and procedures used for characterizing CH TRU SCGs S3000 solids, S4000 soils/gravels, and S5000 debris waste, including the enhanced AK process, Flammable Gas Analysis (FGA), and INL/CCP population of previously certified CH TRU waste containers in the WIPP WWIS/WDS. The audit was conducted in accordance with the requirements of the Permit, CBFO QAPD, WAC, and DSA, Chapter 18.	A I (DTC)	S I (DTC)	E I (DTC)
				The documents necessary to establish that the neutron dose-to-curie (DTC) methodology and the follow-on steps of data review, analysis, and reporting were not ready for review. Therefore, the adequacy, implementation, and effectiveness of the DTC to characterize RH TRU SCGs S3000 soils and S5000 debris waste were deemed indeterminate. CARs 22-032, 22-033, and 22-034		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
INL/CCP	QAD-A-23-12	03/14–03/16/23	Evaluated the continued adequacy, implementation, and effectiveness of established programs for characterizing RH TRU SCGs S3000 solids and S5000 debris waste and CH TRU SCGs S3000 solids, S4000 soils/gravels, and S5000 debris waste. The audit was conducted in accordance with the requirements of the Permit, CBFO QAPD, WAC, and DSA, Chapter 18.	A	S I (RH interface)	E I (RH interface)
				Implementing procedures in accordance with the RH program interface established between the CCP and the INL adequately addressed upper-tier requirements. However, due to a lack of objective evidence received prior to the start of the audit, the implementation and effectiveness of the RH interface was deemed indeterminate. CARs 23-016, 23-017, 23-018, and 23-019		
INL/CCP	QAD-A-24-08	03/12–03/14/24	Evaluated the continued adequacy, implementation, and effectiveness of established programs for characterizing RH TRU SCGs S3000 solids and S5000 debris waste and CH TRU SCGs S3000 solids, S4000 soils/gravels, and S5000 debris waste. The audit was conducted in accordance with the requirements of the Permit, CBFO QAPD, WAC, and DSA, Chapter 18.	A M (FGA)	S	E
				The implementing procedure in accordance with the FGA process (i.e., DOE/WIPP-06-3345, Rev. 13, *Waste Isolation Pilot Plant Flammable Gas Analysis*) for characterizing the CH TRU waste did not adequately address all upper-tier requirements (per CAR 24-009, identified during audit QAD-A-24-03 of SRS/CCP, see Table AUD-4) and was marginal. The audit team verified sustained corrective actions related to one FGA-related CAQ (CAR 23-017) identified during the previous recertification audit (QAD-A-23-12) and did not find any similar instances in this audit. CARs 24-020 and 24-021		

Table AUD-2. Los Alamos National Laboratory Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL/CCP	A-18-14	05/08 – 05/10/2018	Evaluated the continued adequacy, implementation, and effectiveness of established programs for characterizing CH SCG S3000 homogeneous solids, SCG S4000 soils/gravel, and S5000 debris waste, performed by the LANL/CCP, in accordance with the requirements detailed in the Permit and CBFO QAPD. The audit excluded wastes processed through the Waste Characterization, Reduction, and Repackaging Facility (WCRRF). Waste characterization processes for SCG S3000 waste at the WCRRF had not generated any waste characterization data.	A	S I (see below)	E I (see below)
				The implementation and effectiveness of the following activities were indeterminate: -The BDRs and field activities for characterizing CH SCG S3000 solids waste were not evaluated during the audit due to inactivity for this SCG. -The visual examination (VE) process for characterizing SCG S3000 solids waste was inactive for an extended period. Visual examination work associated with the Off-Site Source Recovery Program was ongoing; however, objective evidence was not provided during the audit. -The WWIS/WDS process, due to inactivity in all waste SCGs.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL/CCP	A-19-18	05/21–06/03/2019	Evaluated the continued adequacy, implementation, and effectiveness of established programs for characterizing CH SCG S3000 homogeneous solids, SCG S4000 soils/gravel, and SCG S5000 debris waste, performed by the LANL/CCP, in accordance with the requirements detailed in the Permit, CBFO QAPD, WAC, and DSA, Chapter 18.	A	S I (see below)	E I (see below)
				The implementation and effectiveness of the following activities were indeterminate: -Characterization activities were not performed, nor were BDRs generated, for CH SCG S4000 soils/gravel. -The VE process BDRs and field activities for characterizing SCG S3000 solids waste were not evaluated during the audit due to inactivity for this SCG. CARs 19-060 and 19-061		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL/CCP	A-20-15	06/23 – 08/05/20	Evaluated the continued adequacy, implementation, and effectiveness of established programs for characterizing CH SCG S3000 homogeneous solids, SCG S4000 soils/gravel, and S5000 debris waste, performed by the LANL/CCP, in accordance with the requirements detailed in the Permit, CBFO QAPD, WAC, and DSA, Chapter 18.	A	S I (see below)	E I (see below)
				The implementation and effectiveness of the following activities were indeterminate: • Characterization activities were not performed, nor BDRs generated, for CH SCG S4000 soils/gravel. • VE process BDRs and field activities for characterizing SCG S3000 solids waste were not evaluated during the audit due to inactivity for this SCG. • The Super High Efficiency Neutron Counter (HENC) and HENC 1 had not participated in a Performance Demonstration Program (PDP) cycle at the time of the audit, nor BDR completed. During the audit, the calibration and other associated documentation had also not been completed. CAR 20-026		

<table>
<tr><th>Organization Assessed</th><th>Assessment Number</th><th>Assessment Dates</th><th>Scope of Assessments</th><th>Adequacy</th><th>Implementation</th><th>Effectiveness</th></tr>
<tr><td rowspan="2">LANL/CCP</td><td rowspan="2">A-21-17</td><td rowspan="2">05/18–
05/20/21</td><td rowspan="2">Evaluated the continued adequacy, implementation, and effectiveness of established programs for characterizing CH SCG S3000 homogeneous solids, SCG S4000 soils/gravel, and S5000 debris waste, performed by the LANL/CCP, in accordance with the requirements detailed in the Permit, CBFO QAPD, WAC, and DSA, Chapter 18.</td><td>A</td><td>S
I (see below)</td><td>E
I (see below)</td></tr>
<tr><td colspan="3">The implementation and effectiveness of the following activities were indeterminate:
Characterization activities were not performed, nor BDRs generated, for CH SCG S4000 soils/gravel.
VE process BDRs and field activities for characterizing SCG S3000 solids waste were not evaluated during the audit due to inactivity for this SCG.
The Super HENC had not participated in a PDP cycle at the time of the audit, nor BDR completed. During the audit, the calibration and other associated documentation had also not been completed.
CARs 21-015, 21-016, 21-017, and 21-018</td></tr>
<tr><td rowspan="2">LANL/CCP</td><td rowspan="2">A-22-12</td><td rowspan="2">06/28 –
06/30/22</td><td rowspan="2">Evaluated the continued adequacy, implementation, and effectiveness of established programs for characterizing CH SCG S3000 homogeneous solids, SCG S4000 soils/gravel, and S5000 debris waste, performed by the LANL/CCP, in accordance with the requirements detailed in the Permit, CBFO QAPD, WAC, and DSA, Chapter 18.</td><td>A</td><td>S</td><td>E</td></tr>
<tr><td colspan="3">CARs: 22-043, 22-044, 22-045, and 22-046</td></tr>
</table>

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL/CCP	QAD-A-23-14	05/16 – 05/18/23	Evaluated the continued adequacy, implementation, and effectiveness of established programs for characterizing CH SCG S3000 homogeneous solids, SCG S4000 soils/gravel, and S5000 debris waste, performed by the LANL/CCP, in accordance with the requirements detailed in the Permit, CBFO QAPD, WAC, and DSA, Chapter 18.	A	S	E M (see below)
				For Container Management, the procedures reviewed, field observations, and documentation assembled provided evidence that the applicable requirements for container management are adequately established for compliance with upper-tier requirements, satisfactorily implemented, and marginally effective in achieving the desired results. CARs 23-027, 23-028, and 23-029		
LANL/CCP	QAD-A-24-12	05/21 – 05/23/24	Evaluated the continued adequacy, implementation, and effectiveness of established programs for characterizing CH SCG S3000 homogeneous solids, SCG S4000 soils/gravel, and S5000 debris waste, performed by the LANL/CCP, in accordance with the requirements detailed in the Permit, CBFO QAPD, WAC, and DSA, Chapter 18.	A M (FGA)	S	E I (RTR)
				The audit team did not perform field observations for High-Energy (HE) RTR Unit #2, located at LANL Technical Area (TA)-54-0577 and TA-54-0578. The HE-RTR unit was present but was undergoing refurbishment for upgrades. Therefore, the implementation of the HE-RTR Unit #2 for waste characterization was deemed indeterminate. Results of the adequacy review indicate that applicable requirements for FGA activities marginally addressed upper-tier requirements. CAR 24-033		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL/CCP	S-19-33	05/21 – 05/23/19	Evaluated the implementation and effectiveness of the LANL/CCP TRU WWIS/WDS waste certification process, which was identified as indeterminate during the recertification audit A-18-14 due to inactivity, in accordance with CH waste characterization by the LANL/CCP.	n/a	S	E

n/a = not applicable

Table AUD-3. Sandia National Laboratories Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SNL/CCP	A-19-34	06/18 – 06/20/19	Evaluated the continued adequacy, implementation, and effectiveness of the SNL/CCP TRU waste characterization activities for RH SCG S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, RH TRU Waste Characterization Project Implementation Plan (WCPIP), and Chapter 18 of the DSA. To maintain its certification status, this was a desktop recertification audit since the overall SNL/CCP program was suspended in fiscal year 2015. No field waste characterization activities have been performed since the CBFO Audit A-15-25, conducted August 18-20, 2015.	A	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SNL/CCP	A-20-16	05/26 – 05/27/20	Evaluated the continued adequacy, implementation, and effectiveness of the SNL/CCP TRU waste characterization activities for RH SCG S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, RH TRU WCPIP, and Chapter 18 of the DSA. To maintain its certification status, this was a desktop recertification audit since the overall SNL/CCP program was suspended in fiscal year 2015. No field waste characterization activities have been performed since the CBFO Audit A-15-25, conducted from August 18 to 20, 2015.	A	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SNL/CCP	A-21-19	06/22 – 06/24/21	Evaluated the continued adequacy, implementation, and effectiveness of the SNL/CCP TRU waste characterization activities for RH SCG S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, RH TRU WCPIP, and Chapter 18 of the DSA. To maintain its certification status, this was a desktop recertification audit since the overall SNL/CCP program was suspended in fiscal year 2015. No field waste characterization activities have been performed since CBFO Audit A-15-25, conducted August 18-20, 2015.	A	S	E
SNL/CCP	QAD-S-25-07	12/02 – 12/05/24	Verified the implementation and effectiveness of the CCP VE and DTC processes for RH containers at the SNL Auxiliary Hot Cell Facility in Albuquerque, NM. This surveillance is a supplemental evaluation of the VE and DTC processes for the CBFO Audit QAD-A-25-13 scheduled to be conducted in September 2025.	n/a	S	E

n/a = not applicable

Table AUD-4. Savannah River Site Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SRS/CCP	A-19-09	11/06 – 11/08/18	Evaluated the continued adequacy, implementation, and effectiveness of established programs for TRU waste characterization activities performed by the SRS/CCP. The audit team evaluated the programs, procedures, and processes for characterizing CH SCGs S3000 solids waste, S4000 soils/gravel waste, and S5000 debris waste, as well as RH SCG S5000 debris waste, in accordance with the Permit and CBFO QAPD. The only characterization method assessed was AK, including enhanced AK processes.	A (AK only)	S (AK only)	E (AK only)
				Due to the limited scope of this audit and inactivity (i.e., no field characterization activities) at the SRS since Audit A-18-02, the audit team was unable to determine the overall adequacy, implementation, and effectiveness of SRS/CCP waste characterization and certification activities.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SRS/CCP	A-20-07	11/04 – 11/06/19	Evaluated the continued adequacy, implementation, and effectiveness of established programs for TRU waste characterization activities performed by the SRS/CCP. The audit team evaluated the programs, procedures, and processes for characterizing CH SCGs S3000 solids waste, S4000 soils/gravel waste, S5000 debris waste, and RH SCG S5000 debris waste, in accordance with the Permit, CBFO QAPD, WAC, RH WCPIP, and DSA, Chapter 18. The only characterization method assessed was AK, including enhanced AK processes.	A (AK only)	S (AK only)	E (AK only)
				Due to the limited scope of this audit and inactivity (i.e., no field characterization activities) at the SRS since Audit A-19-09, the audit team was unable to determine the overall adequacy, implementation, and effectiveness of SRS/CCP waste characterization and certification activities.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SRS/CCP	A-21-02	10/20 – 10/22/20	Evaluated the continued adequacy, implementation, and effectiveness of established programs for TRU waste characterization activities performed by the SRS/CCP. The audit team evaluated the programs, procedures, and processes for characterizing and certifying CH SCGs S3000 solids and S5000 debris waste, in accordance with the Permit, CBFO QAPD, WAC, and DSA, Chapter 18. The only characterization method assessed was AK (enhanced AK processes).	A (AK only)	S (AK only)	E (AK only)
				Due to the limited scope of this audit and inactivity (i.e., no field characterization activities) at the SRS since Audit A-20-07, the audit team was unable to determine the overall adequacy, implementation, and effectiveness of SRS/CCP waste characterization and certification activities.		
SRS/CCP	A-21-08	12/08 – 12/10/20	Evaluated the adequacy, implementation, and effectiveness of established programs for TRU waste characterization activities performed by the SRS/CCP. The audit team evaluated the programs, procedures, and processes for characterizing CH SCG S5000 debris waste in Area E, in accordance with the Permit, CBFO QAPD, WAC, and DSA, Chapter 18.	A	S	E
				CAR 21-009		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SRS/CCP	A-22-02	12/06 – 12/09/21	The recertification audit A-22-02 for the SRS E-Area included the initial certification of new waste characterization activities in the K-Area. The audit team evaluated the programs, procedures, and processes performed by the SRS/CCP for the characterization and certification of CH SCG S5000 debris waste at the SRS K-Area, the recertification of waste characterization processes for CH SCG S5000 debris waste in the E-Area, and the enhanced AK process for previously certified CH SCGs S3000 solids waste and S4000 soils waste, in accordance with the Permit, CBFO QAPD, WAC, and DSA, Chapter 18.	A	S	E
				CARs 22-003, 22-004, 22-005, and 22-006		
SRS/CCP	QAD-A-23-07	11/29 – 12/01/22	Assessed the capability of the SRS/CCP to characterize CH-TRU SCG S5000 debris waste from the E-Area and the K-Area, and evaluated the enhanced AK processes for previously certified CH TRU SCGs S3000 and S4000 wastes from E-Area. The audit was conducted in accordance with the requirements of the Permit, CBFO QAPD, WAC, and DSA, Chapter 18.	A	S	E
				CARs 23-010 and 23-011		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SRS/CCP	QAD-A-24-03	10/17–10/19/23	Evaluated the programs, procedures, and processes for characterizing and certifying CH waste with a focus on examination of the AK record and other characterization processes for the CH SCGs S5000 debris, S4000 soils/gravel, and S3000 solids waste. The audit was conducted in accordance with the requirements of the Permit, CBFO QAPD, WAC, and DSA, Chapter 18.	A M (FGA)	S	E
				The implementing procedures for the FGA characterization of CH SCG S5000 debris waste (i.e., DOE/WIPP-06-3345, Revision 13) did not adequately address the upper-tier requirements and were marginal. This resulted in one CAQ (CAR 24-009) associated with the flow-down of CH-TRU Waste Authorized Methods for Payload Control, Revision 6, and CH TRU Payload Appendices, Revision 5, to DOE/WIPP-06-3345, Revision 13. This CAR was considered a WIPP programmatic CAR managed through the WIPP Contractor Assurance System (CAS), rather than through the SRS/CCP. CARs 24-006, 24-007, 24-008, and 24-009		
SRS/CCP	QAD-A-25-16	11/19 – 11/21/24	Evaluated the programs, procedures, and processes for characterizing and certifying CH TRU SCGs S5000 debris and S3000 solids waste and evaluated the enhanced AK process for RH TRU SCGs S3000 solids and S5000 debris waste. The audit was conducted in accordance with the requirements of the Permit, CBFO QAPD, WAC, and DSA, Chapter 18.	A M (FGA)	S	E
				The audit team reviewed the FGA procedures and objective evidence and concluded that applicable requirements for FGA characterization of CH SCG S5000 debris waste are marginally established for compliance with upper-tier requirements, but effectively implemented and satisfactory in achieving the desired results. CAR 25-003		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SRS/CCP	S-18-34	08/07 – 08/09/18	Evaluated the implementation and effectiveness of the CCP Mobile Loading Unit activities for loading and shipment of TRU waste from SRS to the WIPP.	n/a	S	E
				CAR 18-048		
SRS/CCP	S-20-18	12/03 – 12/05/19	Evaluated SRS/CCP personnel training and shipping activities related to waste transportation activities for shipment of a TRUPACT-III CH TRU waste container from the SRS generator site to the WIPP. The surveillance also evaluated the loading of a Standard Large Box 2 container into the TRUPACT-III for compliance with current CCP procedures and National TRU Program documents.	n/a	S	E

n/a = not applicable

Table AUD-5. Oak Ridge National Laboratory Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
ORNL/CCP	A-18-13	03/26 – 03/28/18	Evaluated the continued adequacy, implementation, and effectiveness of the ORNL/CCP TRU waste characterization activities for CH SCGs S4000 soils/gravel and CH and RH S5000 debris waste, in accordance with the requirements of the Permit and CBFO QAPD.	A	S I (enhanced AK)	E I (enhanced AK)
				The audit team deemed the implementation and effectiveness of the enhanced AK processes indeterminate until all AK requirements can be demonstrated.		
ORNL/CCP	A-19-16	03/23 – 03/25/19	Evaluated the continued adequacy, implementation, and effectiveness of the ORNL/CCP TRU waste characterization activities for CH and RH SCGs S4000 soils/gravel and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, RH TRU WCPIP, and Chapter 18 of the DSA.	A	S	E
				The audit team verified the implementation of all elements of the enhanced AK process. Although some elements of enhanced AK (i.e., the Interface Waste Management Documents List and AK assessments) were not completed for each waste stream evaluated during the audit, the information provided demonstrated that the AK process was satisfactorily implemented and was effective in achieving the desired results. CARs 19-042, 19-043, 19-044, 19-045, and 19-046		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
ORNL/CCP	A-20-14	04/21 – 04/23/20	Evaluated the continued adequacy, implementation, and effectiveness of the ORNL/CCP TRU waste characterization activities for CH and RH SCGs S4000 soils/gravel and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, RH TRU WCPIP, and Chapter 18 of the DSA.	A	S	E
				CARs 20-019, 20-020, and 20-021		
ORNL/CCP	A-21-15	04/20 – 04/22/21	Evaluated the continued adequacy, implementation, and effectiveness of the ORNL/CCP TRU waste characterization activities for CH and RH SCGs S3000 solids, S4000 soils/gravel, and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, RH TRU WCPIP, and Chapter 18 of the DSA.	A	S I (see below)	E I (see below)
				For CH and RH SCG S3000, except for AK, Project-Level Data Validation and Verification (V&V), WWIS/WDS, and DTC, all other technical activities evaluated during the audit are indeterminate for implementation and effectiveness because no field activities were performed, and supporting documentation was not provided to the audit team for review.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
ORNL/CCP	A-22-10	04/26 – 04/28/22	Evaluated the continued adequacy, implementation, and effectiveness of the ORNL/CCP TRU waste characterization activities for CH and RH SCGs S3000 solids, S4000 soils/gravel, and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, RH TRU WCPIP, and Chapter 18 of the DSA.	A	S	E
				CARs 22-038, 22-039, 22-040, and 22-041		
ORNL/CCP	QAD-A-23-13	04/11 – 04/13/23	Evaluated the continued adequacy, implementation, and effectiveness of the ORNL/CCP TRU waste characterization activities for CH and RH SCGs S3000 solids, S4000 soils/gravel, and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, RH TRU WCPIP, and Chapter 18 of the DSA.	A	S	E
				CARs 23-025 and 23-026		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
ORNL/CCP	QAD-A-24-09	04/08 – 04/11/24	Evaluated the continued adequacy, implementation, and effectiveness of the ORNL/CCP TRU waste characterization activities for CH and RH SCGs S3000 solids, S4000 soils/gravel, and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, RH TRU WCPIP, and Chapter 18 of the DSA.	A M (FGA)	S I (DTC)	E I (DTC)
				Per CAR 24-009, identified during audit QAD-A-24-03 of the SRS/CCP (see Table AUD-4), results of the adequacy review indicated that the procedure marginally addressed upper-tier requirements. Because ORNL did not perform RH DTC activities since the previous audit (QAD-A-23-13), the audit team did not receive objective evidence related to the activities. Therefore, the effective implementation of the RH DTC method was deemed indeterminate. CARs 24-023, 24-024, 24-025, 24-026, 24-027, and 24-028		
ORNL/CCP	S-18-28	05/01 – 05/02/18	Evaluated ORNL/CCP preparations to ship waste from ORNL/CCP waste stream OR-REDC-CH-HET, CH SCG S5000 for compliance with the applicable requirements of the WAC, Appendices I and H (H.5) as applicable.	n/a	S	E

n/a = not applicable

Table AUD-6. Advanced Mixed Waste Treatment Project Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
AMWTP	A-18-04	08/27 – 08/30/18	Evaluated continued adequacy, implementation, and effectiveness of the AMWTP waste characterization activities for CH SCGs S3000 homogeneous solids, S4000 soils/gravel, and S5000 debris waste, in accordance with the requirements of the Permit and CBFO QAPD.	A	S I (AK S4000)	E I (AK S4000)
				The implementation and effectiveness of the enhanced AK products and Waste Stream Profile Form process for the waste stream ID-SDA-SOIL from CH SCG S4000 were deemed indeterminate because AK requirements could not be demonstrated for the SCG.		
AMWTP	A-19-26	09/23 – 09/26/19	Evaluated continued adequacy, implementation, and effectiveness of the AMWTP waste characterization activities for CH SCGs S3000 solids, S4000 soils/gravel, and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, and Chapter 18 of the DSA.	A	S I (AK S4000)	E I (AK S4000)
				There were no completed enhanced AK products and no AK summary report developed for waste stream ID-SDA-SOIL from the CH S4000 soils/gravel; therefore, AK for SCG S4000 SCG was deemed indeterminate. CARs 19-077 and 19-078		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
AMWTP	A-20-19	09/22 – 10/08/20	Evaluated continued adequacy, implementation, and effectiveness of the AMWTP waste characterization activities for CH SCGs S3000 solids, S4000 soils/gravel, and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, and Chapter 18 of the DSA.	A M (VE)	S M (VE) I (AK S4000)	E M (VE) I (AK S4000)
				The audit team deemed the adequacy, implementation and effectiveness of VE marginal due to the following concerns: missing procedural steps in VE-related procedures, RTR/VE BDRs referenced in the audit report not meeting the requirements for certification purposes, qualification cards indicated as complete while in fact the individuals had not yet fully completed the Testing Activities section on the qualification card, and insufficient details recorded in the log entries. Additionally, no enhanced AK products were completed and no AK summary report has been developed for waste stream ID-SDA-SOIL from the CH S4000 soils/gravel SCG; therefore, AK for SCG S4000 was deemed indeterminate. CARs 21-001, 21-002, 21-003, 21-004, 21-005, and 21-006		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
AMWTP	A-22-04	11/01 – 11/04/21	Evaluated continued adequacy, implementation, and effectiveness of the AMWTP waste characterization activities for CH SCGs S3000 solids, S4000 soils/gravel, and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, and Chapter 18 of the DSA. The audit team also verified that a review of the generator site's processes was performed, and that any issues identified during the technical review had been resolved in accordance with DOE/WIPP-16-3564, *Generator Site Technical Review Procedure* (GSTR Procedure).	A	S I (AK S4000)	E I (AK S4000)
				No enhanced AK products had been completed and no AK summary report has been developed for waste stream ID-SDA-SOIL from the CH S4000 soils/gravel SCG. Therefore, AK for SCG S4000 was deemed indeterminate. CARs 22-001 and 22-002		
AMWTP	QAD-A-23-01	10/10 – 10/13/22	Evaluated continued adequacy, implementation, and effectiveness of the AMWTP waste characterization activities for CH SCGs S3000 solids, S4000 soils/gravel, and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, and Chapter 18 of the DSA.	A	S	E
				The previous recertification audit (A-22-04) identified that no enhanced AK products had been completed and no AK summary report had been developed for waste stream ID-SDA-SOIL from the CH SCG S4000 soils/gravel. Therefore, AK for CH SCG S4000 soils/gravel SCG was deemed indeterminate. This recertification audit lifted the indeterminate status. CARs 23-001, 23-002, 23-003, 23-004, and 23-005		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
AMWTP	QAD-A-23-11	08/14 – 08/17/23	Evaluated continued adequacy, implementation, and effectiveness of the AMWTP waste characterization activities for CH SCGs S3000 solids, S4000 soils/gravel, and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, and Chapter 18 of the DSA.	A	S	E
				CARs 23-038 and 23-039		
AMWTP	QAD-A-24-14	08/19 – 08/22/24	Evaluated continued adequacy, implementation, and effectiveness of the AMWTP waste characterization activities for CH SCGs S3000 solids, S4000 soils/gravel, and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, and Chapter 18 of the DSA.	A	S	E
AMWTP	S-19-01	10/02 – 10/04/18	Evaluated the implementation and effectiveness of the AMWTP and CCP activities for loading and shipment of CH TRU mixed waste from the AMWTP to the WIPP.	n/a	S	E

n/a = not applicable

Table AUD-7. Argonne National Laboratory Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
ANL/CCP	A-18-17	07/31 – 08/02/18	Evaluated the continued adequacy, implementation, and effectiveness of the ANL/CCP TRU waste characterization and certification activities for RH SCG S5000 debris waste, in accordance with the requirements of the Permit and CBFO QAPD.	A	S I (WWIS/WDS)	E I (WWIS/WDS)
				The effective implementation of the WWIS/WDS process was deemed indeterminate due to inactivity regarding RH waste characterization by ANL/CCP.		
ANL/CCP	A-19-24	07/16 – 07/17/19	Evaluated the continued adequacy, implementation, and effectiveness of the ANL/CCP TRU waste characterization activities for RH SCG S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, RH TRU WCPIP, and Chapter 18 of the DSA.	A	S	E
				The processes for characterizing RH SCG S5000 debris waste were satisfactorily implemented and effective in achieving the desired results. However, the ANL/CCP had neither performed characterization activities nor generated BDRs for Dimensional/Gravimetric Measurement (DG) since the previous recertification audit.		
ANL/CCP	A-20-17	07/28 – 07/30/20	Evaluated the continued adequacy, implementation, and effectiveness of the ANL/CCP TRU waste characterization activities for RH SCG S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, RH TRU WCPIP, and Chapter 18 of the DSA.	A	S	E
				The processes for characterizing RH SCG S5000 debris waste were satisfactorily implemented and effective in achieving the desired results. However, the ANL/CCP had neither performed characterization activities nor generated BDRs for DG since the previous recertification audit.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
ANL/CCP	A-21-24	07/20 – 07/22/21	Evaluated the continued adequacy, implementation, and effectiveness of the ANL/CCP TRU waste characterization activities for RH SCG S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, RH TRU WCPIP, and Chapter 18 of the DSA.	A	S	E
				The processes for characterizing RH SCG S5000 debris waste were satisfactorily implemented and effective in achieving the desired results. However, the ANL/CCP had neither performed characterization activities nor generated BDRs for DG since the previous recertification audit.		
ANL/CCP	A-22-16	07/26 – 07/28/22	Evaluated the continued adequacy, implementation, and effectiveness of the ANL/CCP TRU waste characterization activities for RH SCG S5000 debris waste and evaluated for the initial certification of the programs for characterizing CH TRU SCG S5000 debris waste. The audit was conducted in accordance with the requirements of the Permit, CBFO QAPD, WAC, RH TRU WCPIP, and Chapter 18 of the DSA.	A	S M (DTC) I (DG, NDA)	E M (DTC) I (DG, NDA) I (CH S5000 AK)
				The processes for characterizing RH and CH SCG S5000 debris waste were satisfactorily implemented and effective in achieving the desired results; however, characterization activities have not been performed, nor have BDRs been generated, for nondestructive assay (NDA) and DG since the previous recertification audit. The AK traceability exercise could not be performed due to the lack of BDRs for NDA, resulting in AK for CH SCG S5000 waste being deemed indeterminate as well. The processes for DTC characterizing RH TRU SCG S5000 debris waste were deemed marginally implemented and effective in achieving the desired results given the limited amount of objective evidence available.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
ANL/CCP	QAD-A-23-15	07/18 – 07/20/23	Evaluated the continued adequacy, implementation, and effectiveness of the ANL/CCP TRU waste characterization activities for CH and RH SCG S5000 debris waste. The audit was conducted in accordance with the requirements of the Permit, CBFO QAPD, WAC, RH TRU WCPIP, and Chapter 18 of the DSA.	A	S	E
ANL/CCP	QAD-A-24-13	07/16 – 07/18/24	Evaluated the continued adequacy, implementation, and effectiveness of the ANL/CCP TRU waste characterization activities for CH and RH SCG S5000 debris waste. The audit was conducted in accordance with the requirements of the Permit, CBFO QAPD, WAC, RH TRU WCPIP, and Chapter 18 of the DSA.	A	S	E
ANL/CCP	S-19-12	11/19 – 11/20/18	Evaluated the enhanced AK and TRU waste certification WWIS/WDS processes that were identified as indeterminate during recertification audits A-17-08, A-17-25, and A-18-17 of the ANL/CCP.	n/a	S	E

n/a = not applicable

Table AUD-8. Lawrence Livermore National Laboratory Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LLNL/CCP	A-19-29	08/27 – 08/29/19	Evaluated the adequacy, implementation, and effectiveness of the LLNL/CCP TRU waste characterization and certification activities for CH TRU SCGs S3000 solids and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, and Chapter 18 of the DSA. This audit was considered an initial certification audit. The audit team also verified that a technical review of the generator site's processes had been performed, and that any issues identified during the review had been resolved in accordance with the GSTR Procedure.	A	S I (see below)	E I (see below)
				Project-Level Data V&V, AK, Performance Demonstration Program, and GGT processes were deemed indeterminate due either to the inactivity or the unavailability of objective evidence. Furthermore, since the LLNL/CCP did not provide objective evidence of the product for the WWIS/WDS, the effectiveness of the WWIS/WDS process was deemed indeterminate. CAR 19-075		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LLNL/CCP	A-20-18	08/25 – 08/27/20	Evaluated the continued adequacy, implementation, and effectiveness of the LLNL/CCP TRU waste characterization and certification activities for CH TRU SCGs S3000 solids and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, and Chapter 18 of the DSA. The audit team also verified that a technical review of the generator site's processes had been performed, and that any issues identified during the review had been resolved in accordance with the GSTR Procedure.	A I (GGT)	S I (GGT)	E I (GGT)
				Field activities for GGT did not take place since the previous certification audit (A-19-29); therefore, GGT was deemed indeterminate. CAR 20-027		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LLNL/CCP	A-20-30	03/30 – 04/02/20	Evaluated the continued adequacy, implementation, and effectiveness of the LLNL/CCP TRU waste characterization and certification activities for CH TRU SCGs S3000 solids and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, and Chapter 18 of the DSA. Audit A-20-30 was considered supplemental to the initial certification audit A-19-29 performed in August 2019. The audit team also verified that a technical review of the generator site's processes had been performed, and that any issues identified during the review had been resolved in accordance with the GSTR Procedure.	A	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LLNL/CCP	A-21-25	08/10 – 08/12/21	Evaluated the continued adequacy, implementation, and effectiveness of the LLNL/CCP TRU waste characterization and certification activities for CH TRU SCGs S3000 solids and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, and Chapter 18 of the DSA. The audit team also verified that a technical review of the generator site's processes had been performed, and that any issues identified during the review had been resolved in accordance with the GSTR Procedure.	A	S	E
				Gas Generation Testing, deemed indeterminate in Audit A-20-18, was included in the audit scope and evaluated on-site, along with procedures and data, to lift the restriction. During this audit, the audit team determined that the GGT procedures were adequate in addressing upper-tier requirements, and the GGT process was implemented satisfactorily and effective.		
LLNL/CCP	A-22-18	08/16 – 08/18/22	Evaluated the continued adequacy, implementation, and effectiveness of the LLNL/CCP TRU waste characterization and certification activities for CH TRU SCGs S3000 solids and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, and Chapter 18 of the DSA.	A	S I (SGS)	E I (SGS)
				The NDA segmented gamma scanner (SGS) unit had been deemed indeterminate for effective implementation. The unit was not operational during the audit because a detector that was sent for refurbishment had not been reinstalled and had not undergone the required calibration verification.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LLNL/CCP	QAD-A-24-04	12/05 – 12/07/23	Evaluated the continued adequacy, implementation, and effectiveness of the LLNL/CCP TRU waste characterization and certification activities for CH TRU SCGs S3000 solids and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, and Chapter 18 of the DSA.	A M (FGA)	S	E
				The audit team conducted interviews with responsible personnel and reviewed DOE/WIPP-06-3345, Rev. 13, regarding the FGA process. Results indicate that the document does not adequately address all upper-tier requirements (see CAR 24-009, identified during audit QAD-A-24-03 SRS/CCP). CARs 24-013 and 24-014		
LLNL/CCP	A-24-16	09/24 – 09/26/24	Evaluated the continued adequacy, implementation, and effectiveness of the LLNL/CCP TRU waste characterization and certification activities for CH TRU SCGs S3000 solids and S5000 debris waste, in accordance with the requirements of the Permit, CBFO QAPD, WAC, and Chapter 18 of the DSA.	A M (FGA)	S	E
				The audit team conducted interviews with responsible personnel and reviewed DOE/WIPP-06-3345, in accordance with the FGA process. Results indicate that the document does not adequately address all upper-tier requirements (see CAR 24-009, identified during audit QAD-A-24-03 of the SRS/CCP).		

Table AUD-9. Los Alamos National Laboratory – Carlsbad Operations Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL-CO	A-18-10	03/06 – 03/08/18	Evaluated continued adequacy, effectiveness, and implementation of the LANL-CO QA program for compliance with the CBFO/QAPD requirements, LANL-CO/Carlsbad Environmental Monitoring & Research Center (CEMRC) interface document, and LANL-CO implementing procedures. Los Alamos National Laboratory – Carlsbad Operations manages the Actinide Chemistry and Repository Science Program (ACRSP) and subcontracts with CEMRC for the use of laboratory and office space in the CEMRC facility for ACRSP activities.	A	S	E
				CAR 18-021		
LANL-CO	A-19-14	04/19 – 04/21/19	Evaluated continued adequacy, effectiveness, and implementation of the LANL-CO QA program for compliance with the CBFO/QAPD requirements, LANL-CO/CEMRC interface document, and LANL-CO implementing procedures.	A	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL-CO	A-22-09	03/01 – 03/03/22	Evaluated continued adequacy, effectiveness, and implementation of the LANL-CO QA program for compliance with the CBFO/QAPD requirements, LANL-CO/CEMRC interface document, and LANL-CO implementing procedures.	A	S	E
				CAR 22-035		

Table AUD-10. Nuclear Waste Partnership Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-18-05	02/20 – 02/22/18	Evaluated the adequacy, implementation, and effectiveness of the NWP Industrial Safety Air Quality Monitoring program for compliance with the CBFO QAPD requirements.	A	S	E
NWP	A-18-07	04/03 – 04/05/18	Evaluated continued adequacy, implementation, and effectiveness of NWP QA and technical activities for compliance with Nuclear QA (NQA)-1-1989 Criterion 12, Control of Measuring and Test Equipment, including NQA-1 Supplement 12S-1.	A	S	E
				CARs 18-026, 18-027, and 18-028		
NWP	A-18-08	01/30 – 02/08/18	Evaluated the adequacy, implementation, and effectiveness of the NWP program requirements and associated implementing procedures governing the control of stores inventory and receiving at the WIPP site main warehouse. Other storage locations include the auxiliary warehouse at the WIPP site and one warehouse in town.	A	M	M
				Overall, the audit team determined that the requirements of NWP procedures for material control and stores inventory program were adequately established and met upper-tier requirements. However, the overall implementation and effectiveness were determined to be marginal in the areas of stores inventory control and equipment held for future projects. CARs 18-012, 18-014, 18-015, 18-016, and 18-017		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-18-09	05/22 – 05/24/18	Evaluated the sustained adequacy, implementation, and effectiveness of the NWP/CCP QA program established for controlling quality-affecting activities associated with CCP characterization and certification of TRU waste destined for disposal at the WIPP. The Inspection and Testing element was assessed at the INL in order to observe actual inspections occurring in the field.	A	S	E
NWP	A-18-11	09/18 – 09/20/18	Evaluated the adequacy, implementation, and effectiveness of NWP Procurement and Graded Approach programs with respect to the implementation of the QA requirements defined in the CBFO QAPD and WP 13-1, NWP QAPD.	A	S	E
				CARs 19-001, 19-002, 19-003, 19-004, and 19-005		
NWP	A-18-18	05/01 – 05/03/18	Evaluated the adequacy, implementation, and effectiveness of the NWP 10 CFR Part 71 Subpart H, QA Program with respect to Type B packaging to be used at the WIPP.	A	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-18-21	06/04 – 06/07/18	Evaluated the adequacy, implementation, and effectiveness of the NWP Environmental programs with respect to the requirements defined in the CBFO QAPD, DOE/WIPP-99-3119, *Compliance Monitoring Implementation Plan for 40 CFR 191.14(b)*, and DOE/WIPP-06-3339, *WIPP Groundwater Protection Program Plan.*	A	S	E
				CARs 18-032, 18-033, 18-034, 18-035, and 18-036		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-18-22	06/12 – 06/14/18	Evaluated the adequacy, implementation, and effectiveness of NWP QA and technical activities with respect to the requirements defined in the CBFO QAPD, NWP QAPD, and NWP implementing procedures. This audit only evaluated NQA-1 criteria 1, 2, 5, 6, and 9. Due to the large number of already identified Issues Collection and Evaluation (ICE)-related issues, the audit team lead and the CBFO management representative determined that a separate assessment of the design control criterion is appropriate to adequately cover NQA-1 Criterion 3, Design Control, scope. Criteria 4, 7, and 8 of the NQA-1 were evaluated by review of recent assessments that covered these criteria.	A	S	E
				CARs 18-040 and 18-041		
NWP	A-18-24	07/31 – 08/02/18	Evaluated the continued adequacy, implementation, and effectiveness of NWP QA and technical activities related to Criteria 10 through 18 of the NQA-1-1989 with respect to the requirements defined in the CBFO QAPD, NWP QAPD, and NWP implementing procedures.	A	S	E
				CAR 18-047		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-18-27	06/26 – 06/27/18	Evaluated the adequacy, implementation, and effectiveness of the NWP Environmental Program for Hydrogen/Methane/Volatile Organic Compound (VOC) Sampling and Analysis and Meteorology-related activities with respect to the requirements defined in the CBFO QAPD, NWP QAPD, and NWP implementing procedures.	A	S	E
				CARs 18-044 and 18-045		
NWP	A-18-29	09/10 – 09/13/18	Evaluated the adequacy, implementation, and effectiveness of NWP QA and technical activities related to Criterion 3 of the NQA-1-1989, Design Control, with respect to the requirements defined in the CBFO QAPD, NWP QAPD, and NWP implementing procedures.	A	S	E
NWP	A-19-01	11/27 – 11/28/18 and 12/04 – 12/06/18	Evaluated the adequacy, implementation, and effectiveness of the NWP QA program with respect to CH waste emplacement activities at the WIPP.	A	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-19-02	11/06 – 11/06/18	Evaluated the adequacy, implementation, and effectiveness of QA and technical activities related to radiological control (RADCON) operations at the WIPP with respect to the requirements defined in the CBFO and NWP QAPDs.	A	S	E
				CARs 19-009 to 19-015		
NWP	A-19-08	12/04 – 12/06/18	Evaluated the continued adequacy, implementation, and effectiveness of QA and technical activities related to dosimetry operations at the WIPP with respect to the requirements defined in the CBFO and NWP QAPDs.	A	S	E
				CARs 19-020 through 19-023		
NWP	A-19-10	01/14 – 01/16/19	Evaluated the adequacy, implementation, and effectiveness of QA and technical activities related to the NWP WIPP Laboratories at the CEMRC and the WIPP site. The activities were evaluated with respect to the requirements defined in the CBFO and NWP QAPDs.	A	S	E
				CARs 19-028, 19-029, and 19-030		

<table>
<tr><th>Organization Assessed</th><th>Assessment Number</th><th>Assessment Dates</th><th>Scope of Assessments</th><th>Adequacy</th><th>Implementation</th><th>Effectiveness</th></tr>
<tr><td rowspan="2">NWP</td><td rowspan="2">A-19-13</td><td rowspan="2">05/07 – 05/09/19</td><td rowspan="2">Evaluated the adequacy, implementation, and effectiveness of QA and technical activities related to the NWP Equipment Calibration program. The activities were evaluated with respect to the requirements defined in the CBFO and NWP QAPDs.</td><td>A</td><td>S
M (RADCON)</td><td>E
M (RADCON)</td></tr>
<tr><td colspan="3">The audit team identified seven CAQs during the audit. Four of the CAQs were related to the NWP RADCON program for RADCON calibration. Due to the nature of the concerns, it was concluded that the RADCON calibration activities were adequately established for compliance with the upper-tier requirements, marginal in the implementation of these requirements, and marginally effective in achieving the desired results.

Six of the seven CAQs were documented as CARs 19-052, 19-053, 19-055, 19-056, 19-057, and 19-058. The last CAR was initially identified in the RADCON Audit A-19-02 (CAR 19-011) conducted from November 6 – 8, 2018.</td></tr>
<tr><td rowspan="2">NWP</td><td rowspan="2">A-19-17</td><td rowspan="2">05/07 – 05/09/19</td><td rowspan="2">Evaluated the adequacy, implementation, and effectiveness of the NWP environmental programs for compliance under DOE/WIPP-99-3119 and DOE/WIPP-06-3339. The activities were evaluated with respect to the requirements defined in the CBFO and NWP QAPDs.</td><td>A</td><td>S</td><td>E</td></tr>
<tr><td colspan="3">CARs 19-062 and 19-063</td></tr>
</table>

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
.NWP	A-19-19	06/11 – 06/13/19	Evaluated the adequacy, implementation, and effectiveness of the NWP – Regulatory and Environmental Services (RES) Environmental Monitoring Program for compliance with the requirements defined in the CBFO and NWP QAPDs.	A	S	E
NWP	A-19-31	03/25 – 03/27/19	Evaluated the adequacy, implementation, and effectiveness of the NWP/CCP QA Program established for controlling quality-affecting activities associated with CCP characterization and certification of TRU waste destined for disposal at the WIPP.	A	S	E
NWP	A-20-03	10/22 – 10/28/19	Evaluated the adequacy, implementation, and effectiveness of the NWP Waste Handling and Emplacement Program for compliance with the requirements of DOE/WIPP-02-3184, Revision 18, *CH Packaging Operations Manual,* and the CBFO QAPD.	A CAR 20-002	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-20-09	03/03 – 03/05/20	Evaluated the degree of adequacy, implementation, and effectiveness of the NWP/CCP QA Program established for controlling quality-affecting activities associated with CCP characterization and certification of TRU waste destined for disposal at the WIPP.	A	S	E
				CARs 20-015 and 20-016		
NWP	A-20-22	06/08 – 06/10/20	Evaluated the continued adequacy, implementation, and effectiveness of the NWP-RES Environmental Monitoring Program for compliance with the requirements of the CBFO and NWP QAPDs.	A	S	E
NWP	A-21-01	03/16 – 03/18/21	Evaluated the adequacy, implementation, and effectiveness of the NWP Air Monitoring Air Abatement Plan (10 CFR 851, Hazard Abatement Plan – Nitrogen Dioxide) program for compliance under the CBFO and NWP QAPDs.	A	S	E
				CARs 21-012 and 21-013		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-21-03	06/01 – 06/03/21	Evaluated the adequacy, implementation, and effectiveness of NWP's Safety Software to include Information Resource Management and WDS WAC Revision 10 requirements for Software Quality Assurance (SQA). The audit team evaluated non-safety software requirements as outlined in the QAPD, focusing on the development and maintenance of the software inventory list.	A	S	E
				CARs 21-019 and 21-020		
NWP	A-21-14	03/02 – 03/04/21	Evaluated the adequacy, implementation, and effectiveness of the NWP/CCP QA Program established for controlling quality-affecting activities associated with CCP characterization and certification of TRU waste destined for disposal at the WIPP.	A	S	E
				CAR 21-011		
NWP	A-21-16	08/17 – 08/19/21	Evaluated the continued adequacy, implementation, and effectiveness of the NWP's 10 CFR Part 71, Subpart H, Quality Assurance Program for Type "B" Packaging.	A	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-21-18	04/27 – 05/03/21	Evaluated the continued adequacy, implementation, and effectiveness of the NWP-RES Environmental Monitoring Program for compliance with the NWP QAPD.	A	S	E
NWP	A-21-21	09/14 – 09/16/21	Evaluated the continued adequacy, implementation, and effectiveness of the NWP QA Program, Criteria 10 through 18 for compliance with the requirements of the NWP QAPD.	A	S	E
NWP	A-21-29	08/03 – 08/05/21	Evaluated the degree of adequacy, implementation, and effectiveness of the NWP Environmental Programs for compliance under the CBFO QAPD, DOE/WIPP-99-3119, DOE/WIPP-06-3339, and the NWP QAPD. Areas evaluated included the WIPP Annual Site Environmental Report, groundwater and surface water field programs, vegetation, soil, and biota sampling, discharge ponds and sewage lagoons; Delaware Basin mapping; and other environmental-related processes.	A	S	E

<table>
<tr><th>Organization Assessed</th><th>Assessment Number</th><th>Assessment Dates</th><th>Scope of Assessments</th><th>Adequacy</th><th>Implementation</th><th>Effectiveness</th></tr>
<tr><td rowspan="2">NWP</td><td rowspan="2">A-22-03</td><td rowspan="2">02/01 – 02/08/22</td><td rowspan="2">Evaluate the adequacy, implementation, and effectiveness of QA and technical activities related to the NWP QA Program at the WIPP, as related to Criteria 1, 2, 3, 5, 6, 7, 8, and 9 of the NQA-1-1989. Criterion 4, Procurement Document Control, was evaluated in an assessment (Surveillance S-22-04).

Activities were evaluated with respect to the requirements defined in the CBFO QAPD, NWP QAPD, and NWP implementing procedures.</td><td>A</td><td>S</td><td>E</td></tr>
<tr><td colspan="3">CARs 22-024 through 22-031</td></tr>
<tr><td rowspan="2">NWP</td><td rowspan="2">A-22-06</td><td rowspan="2">01/04 – 01/10/22</td><td rowspan="2">The audit team evaluated the adequacy of NWP procedures with respect to CBFO and NWP QA requirements. Auditors observed the implementation of surface CH waste handling operations procedures, along with waste container handling in the CH Bay at the WIPP. The effectiveness of implementing and documenting procedure work steps was also observed.</td><td>NA</td><td>M</td><td>M</td></tr>
<tr><td colspan="3">Due to the number of concerns identified during the audit, the audit team concluded that the NWP’s surface CH waste handling activities evaluated are not adequately established and are considered marginally implemented and effective.

CARs 22-012 to 22-023</td></tr>
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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-22-08	03/15–03/17/22	Evaluated the degree of adequacy, implementation, and effectiveness of the NWP/CCP QA Program established for controlling quality-affecting activities associated with CCP characterization and certification of TRU waste destined for disposal at the WIPP.	A	S	E
NWP	A-22-17	07/05 – 07/07/22	Evaluated the adequacy, implementation, and effectiveness of the Configuration Management process performed by the NWP at the WIPP. Activities were in relation to the requirements defined in the CBFO QAPD, NWP QAPD, and applicable NWP implementing plan and procedures.	A	S	E
				CAR 22-047		
NWP	QAD-A-23-04	11/15 – 11/17/22	Evaluated the adequacy, implementation, and effectiveness of the NWP Integrated CAS (iCAS) program related to documentation generated by the NWP iCAS program that governs quality-affecting activities.	A	S	E
				CARs 23-008 and 23-009		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-18-02	01/31 – 02/01/18	Evaluated the implementation and effectiveness of NWP procedure WP 08-NT3020, *TRU Waste Receipt*, for the receipt of CH TRU waste containers and handling of TRUPACT-IIs and HalfPACTs at the WIPP.	n/a	S	E
NWP	S-18-09	01/23 – 01/25/18	Verified the implementation and effectiveness of the NWP-RES Waste Confirmation program with respect to the requirements of the CBFO QAPD, Permit Attachments C7 and F1, and the WIPP DSA, Chapter 18.	n/a	S	E
NWP	S-18-19	05/15 – 05/31/18	Evaluated implementation and qualifications of personnel assigned to participate in Safety Significant Confinement Ventilation System (SSCVS) procurement activities with respect to the requirements of the NWP QAPD and applicable procedures.	n/a	S	E
				CARs 18-037, 18-038, and 18-039.		
NWP	S-18-27	03/20 – 03/21/18	Assessed the application of SQA to the Qualified Supplier List (QSL) database software application with respect to the requirements of the CBFO QAPD and NWP program documents, and implementing procedures regarding SQA and procurement criteria.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-18-30	06/19 – 06/20/18	Evaluated the performance of NWP external Audit E18-07 of APTIM Federal Services LLC (APTIM) facility for adherence to the NWP QAPD and applicable implementing procedures. The audit aimed to verify the effectiveness of the APTIM QA program providing NWP with nuclear safety engineering services in support of construction and equipment fabrication including design change control, configuration management, commercial-grade dedication, nonconformance evaluation, and records management for the WIPP SSCVS project.	n/a	S	E
NWP	S-18-31	05/31/18	Evaluated the emplacement activity, response actions, and resulting abnormal operations associated with CH waste emplacement at the WIPP on the night of May 24, 2018.	n/a	S	E
NWP	S-18-33	08/18 – 08/20/18	Evaluated the NWP Staffing Plan and the qualifications and training of personnel assigned to participate in SSCVS activities.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-18-35	09/25 – 09/27/18	Assessed the Work Control Process at the WIPP with respect to upper-tier requirements of the CBFO and NWP QAPDs.	n/a	S	E
NWP	S-18-36	09/18– 09/19/18	Assessed the application of SQA to the WIPP Technology Action Request Process application with respect to upper-tier requirements of the CBFO and NWP QAPDs.	n/a	S	E
NWP	S-19-02	03/28/19	Evaluated the implementation and effectiveness of NWP procedure WP 08-NT3020 for the receipt of CH TRU waste containers and handling of TRUPACT-IIs and HalfPACTs at the WIPP.	n/a	S	E
NWP	S-19-06	12/11 – 12/13/18	Evaluated the implementation and effectiveness of the NWP Unreviewed Safety Question program performed by the NWP Nuclear Safety organization.	n/a	S	E
NWP	S-19-08	06/04/19	Evaluated the waste shipment monitoring activities performed at the WIPP and evaluated the effectiveness of implementing procedures.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-19-20	04/09 – 04/17/19	Evaluated the degree of effective implementation of the requirements established in the NWP Commercial Grade Item Dedication (CGID) Program.	n/a	M	M
				The surveillance team noted that a high level of effort has been exerted to produce an acceptable end product, based on the documentation accompanying the CGID plans. However, due to the number of concerns identified during the surveillance, the surveillance team concluded that the NWP CGID Program is marginally implemented, resulting in a marginally effective process. CARs 19-047, 19-048, 19-049, and 19-050		
NWP	S-19-21	12/05/18	Evaluated the SSCVS activities in accordance with the effective implementation of the document control requirements of the CBFO QAPD.	n/a	U	NE
				The SSCVS project documents were not developed in accordance with the NWP Controlled Document Processing procedure, WP 15-PS3002. Therefore, the surveillance team determined that the NWP Document Control Program for the SSCVS project is unsatisfactorily implemented. CAR 19-026		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-19-22	12/10 – 12/12/18	Evaluated the implementation of NWP QA oversight specific to the SSCVS program. The surveillance scope considered NWP QA oversight of both: 1) the NWP SSCVS Project organization and 2) fabrication/construction activities associated with the SSCVS. The NWP QA Assessment Program's organization has primary responsibility for oversight of the SSCVS project. In contrast, the NWP QA General Plant Projects & Capital Assets Projects organization performs oversight of fabrication and construction activities.	n/a	U	NE
				During the surveillance, the NWP QA stated that no oversight activities (audits, surveillances) of the SSCVS program have been performed. Furthermore, the NWP QA Fiscal Year 2019-2021 Independent Assessment Schedule (three-year look-ahead) did not include any oversight of the SSCVS program. Overall, the surveillance team concluded that the NWP QA Program relating to ongoing oversight of the SSCVS project was unsatisfactorily implemented. However, oversight of fabrication and construction activities for the SSCVS projects was satisfactorily implemented. CAR 19-024		
NWP	S-19-25	02/20/19	Verified the implementation and effectiveness of the NWP biota sampling activities, specifically quail, with respect to the requirements of the current CBFO QAPD and NWP procedures.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-19-26	02/18 – 02/21/19 and 03/18/19	Verified the implementation and effectiveness of the NWP Environmental Sampling process for chlorine and total chlorine analysis in drinking water, meteorological readings, and environmental soil sampling with respect to the requirements of the CBFO QAPD and NWP procedures.	n/a	S	E
NWP	S-19-27	04/09 – 04/11/19	Verified the implementation and effectiveness of the NWP Environmental Monitoring Program related to the Discharge Permit 831 (DP-831) monitoring and inspection activities, with respect to the requirements of the current CBFO QAPD and NWP procedures.	n/a	S	E
NWP	S-19-28	02/21/19	Verified the implementation and effectiveness of the NWP QA Oversight Plan for the WIPP Permanent Ventilation System (PVS) Filter Housing Assemblies at IONEX Research Corporation facilities located in Lafayette, Colorado.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-19-29	03/26 – 03/28/19	Verified the implementation and effectiveness of NWP QA oversight of the Critical Applications Alliance (CAA) supplier quality evaluation of Curtiss-Wright's QA program for placement on the CAA's Approved Supplier List for the WIPP PVS.	n/a	S	E
NWP	S-19-30	07/09 – 07/11/19	Verified the implementation and effectiveness of the NWP Material Control and Stores Inventory program requirements and associated implementing procedures governing the control of stores inventory at the WIPP site. Areas evaluated included the accuracy of the electronic and physical inventory, receipt and handling of materials, and the Equipment Held for Future Projects.	n/a	M	M
				The surveillance team concluded that the Material Control and Stores Inventory program was satisfactorily implemented and effective. However, some areas identified during the surveillance were determined to be marginally implemented and effective. CARs 19-066 through 19-072		
NWP	S-19-31	06/05 – 06/07/19	Evaluated the implementation and effectiveness of the NWP QA Oversight Plan for the SSCVS First-Article Inspection/Test oversight of filter housing assemblies fabricated for the WIPP at IONEX Research Corporation facilities.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-19-32	06/12 – 06/27/19	Verified the implementation of the Commercial Grade Dedication plans and associated Approval Requests/Variation Requests (AR/VRs) submitted by contractors for SSCVS and approved by NWP QA.	n/a	S	E
NWP	S-19-35	09/17 – 09/18/19	Assessed NWP QA oversight of factory acceptance tests in support of the fabrication and acceptance of the WIPP Balance of Plant Salt Reduction System for the Safety Significant Permanent Ventilation System in accordance with the WIPP Scrubber System Operational Test Plan. The WIPP Scrubber System Operational Test Plan outlines a program for conducting a run test of each unit on the equipment for the Salt Reduction System.	n/a	S	E
NWP	S-19-38	07/23 – 07/25/19	Verified the implementation and effectiveness of NWP QA oversight of the CAA supplier quality evaluation of Piping Technology's QA program for placement on CAA's Approved Supplier List for the WIPP PVS.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-20-03	01/28 – 01/29/20	Verified the implementation and effectiveness of the NWP Central Monitoring Room (CMR) operations at the WIPP.	n/a	S	E
				CAR 20-012		
NWP	S-20-04	11/12 – 11/13/19	Evaluated CCP personnel training and shipping activities related to waste transportation activities for shipment of CH and RH TRU waste from generator sites to the WIPP.	n/a	S	E
NWP	S-20-06	01/14 – 01/16/20	Verified the implementation and effectiveness of the NWP Engineering Fire Protection program, including the Fire Department equipment, with respect to the requirements of the NWP implementing procedures.	n/a	S	E
				CAR 20-009		
NWP	S-20-16	02/05 – 02/07/20	Evaluated NWP QA personnel's implementation of applicable NWP QA program requirements during their oversight of Factory Acceptance Testing of the first article inspection/testing for SSCVS fans.	n/a	S	E
NWP	S-20-17	12/09/19 – 01/30/20	Evaluated the adequacy and effectiveness of NWP QA in auditing CAA's implementation of its QA program, as described in the CAA's internal procedures.	n/a	S	E
				CARs 20-010 and 20-011		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-20-27	07/09 – 07/10/20	Verified that the NWP QA Oversight Program organization has properly placed and maintained the Encorus Group scope of work on the NWP QSL.	n/a	S	S
NWP	S-20-28	04/07 – 06/04/20	Verified the implementation of applicable program requirements by the NWP personnel for processing of AR/VRs received from CAA.	n/a	M	M
				The surveillance team concluded that portions of the AR/VR process were marginally implemented, and marginally effective in achieving the desired results. CARs 20-022, 20-023, 20-024, and 20-025		
NWP	S-20-29	04/28 – 05/04/20	Verified the implementation of applicable program requirements by the NWP personnel for processing AR/VRs received from Encorus Group. Of particular interest were those AR/VRs where NWP QA had recommended disapproval of the submittals in the AR/VRs, but technical management decided to approve them.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-20-33	08/27 – 08/28/20	Evaluated NWP QA Oversight Program organization implementation of corrective actions in response to CBFO CAR 19-024, issued during Surveillance S-19-22. The subject of CAR 19-024 was NWP QA oversight of SSCVS project activities.	n/a	M	M
				Five of the six surveillances added to the NWP QA Independent Assessment Schedule in response to CAR 19-024 had not yet been performed at the time of the surveillance. Therefore, the surveillance team concluded that NWP QA actions with respect to performing surveillances of SSCVS project activities, a commitment resulting from CAR 19-024, were marginally implemented.		
NWP	S-21-02	10/13 – 10/22/20	Verified implementation of applicable program requirements by the NWP Waste Handling personnel to maintain container integrity.	n/a	S	E
NWP	S-21-06	12/15 – 12/17/20	Evaluated CCP personnel training and shipping activities related to waste transportation activities for shipment of CH-TRU waste from generator sites to the WIPP. Only shipping reports for CH waste were examined for accuracy and completeness.	n/a	S	E
NWP	S-21-09	01/12 – 01/14/21	Verified the implementation and effectiveness of the NWP/RES Waste Confirmation Program with respect to the requirements of the CBFO QAPD; the Permit Attachments C7 and F1; and the DSA Chapter 18.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-21-13	11/18 – 11/25/20	Evaluated the adequacy of initial actions taken by NWP QA to place Kiewit Power Constructors Company on the NWP QSL as the new subcontractor for the WIPP SSCVS scope of work.	n/a	S	E
NWP	S-21-14	04/08 – 05/27/21	Evaluated the adequacy of actions taken by NWP to remove restrictions on the QSL entry for The Industrial Company (TIC), the general subcontractor for the SSCVS.	n/a	S	E
NWP	S-21-17	01/26 – 01/27/21	Verified the implementation and effectiveness of NWP QA oversight of the Kiewit audit of the Consolidated Power Supply QA program. Consolidated Power Supply is a prospective rebar supplier for safety-significant (SS) construction of the WIPP SSCVS.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-21-19	05/10/21	Evaluated the preparation activities for slab-on-grade concrete pours for the WIPP New Filter Building (NFB). The NFB is a surface structure being built as part of the SSCVS project for the WIPP underground repository. The NFB slab-on-grade concrete pours are SS activities.	n/a	U	NE
				Records requested by the surveillance team were not identifiable and retrievable. Therefore, the surveillance team recommended that the NWP QA conduct a performance-based surveillance to evaluate logbooks and craft training certification associated with the concrete pour construction activities. CAR 21-021		
NWP	S-21-22	07/20 – 12/02/21	Evaluated the peer review of the Additional Panels PA Changed Conceptual Models, for compliance with CBFO MP 10.5, *Peer Review*, and overall effectiveness.	n/a	S	E
NWP	S-21-24	10/05/21	Evaluated the wall concrete placement pours for the WIPP NFB.	n/a	S	E
NWP	S-21-25	09/22 – 09/23/21	Evaluated the marking, labeling, and storage of construction materials for the WIPP NFB.	n/a	S	E
NWP	S-22-01 Shadow Assessment[a]	10/12 – 10/25/21	Evaluated the implementation and effectiveness of the NWP QA Audit program, performing I21-09 Industrial Hygiene Program audit (2nd year).	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-22-03 Shadow Assessment	01/10 – 01/11/22	Verified the effectiveness of the NWP QA Oversight program's audit (E33-03) of Premier Technology Inc. for retention on the NWP QSL.	n/a	S	E
NWP	S-22-04 Shadow Assessment	10/04 – 10/13/21	Evaluated the NWP QA program performing audit I21-12 of NWP Procurement program.	n/a	S	E
NWP	S-22-05 Shadow Assessment	11/01 – 11/15/21	Evaluated the implementation and effectiveness of the NWP QA Audit program performing audit I21-11 Radiological Protection Program (2nd year) audit.	n/a	S	E
				The audit team identified no concerns that required the generation of a CAR as a result of the NWP QA audit shadow assessment. However, there were two concerns classified as CAQs by the surveillance team's investigation of the implementation of corrective actions from concerns identified during CBFO Radiation Safety Program Audits A-19-02 and A-19-08. These concerns were identified through the investigation of WIPP's operations related to the use and accountability of radiological sources as described in WP 12-HP3201, *Radioactive Source Accountability and Control*. CARs 22-007 and 22-008		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-22-07	11/16 – 11/18/21	Verified the adequacy and implementation of the NWP QA Program with respect to sampling, data compilation, and reporting to maintain compliance with CBFO and federal requirements for National Emission Standards for Hazardous Air Pollutants (NESHAP) reporting activities in accordance with CBFO documents. The surveillance also evaluated and validated the implementation and effectiveness of applicable NWP implementing procedures.	n/a	S	E
NWP	S-22-08	12/14 – 12/16/21	Verified the implementation of corrective actions, by the NWP Engineering Commercial Grade Item and Service Dedication Program, for concerns identified during Surveillance S-19-20, performed April 9 – 17, 2019: CARs 19-047, 19-048, 19-049, and 19-050.	n/a	S	E
NWP	S-22-09	10/20 – 10/21/21	Evaluated the marking, labeling, and storage of filter housings for the WIPP NFB.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-22-11 Shadow Assessment	11/17/21 – 01/06/22	Evaluated NWP QA's oversight of TIC's Non-Conformance Reporting/Corrective Action Processes, as well as field verification of non-conformance report tags on nonconforming material/items.	n/a	S	E
NWP	S-22-14 Shadow Assessment	03/07 – 03/17/22	Evaluated NWP QA performing Surveillance WIPP-ASMT-22-0223 of NWP iCAS, which included evaluations of the effectiveness of previous corrective actions and potential implementation of opportunities for improvement.	n/a	S	E
NWP	S-22-15	03/08 – 03/10/22	Verified the adequacy and implementation of the NWP QA Program with respect to the management, handling, and transportation of Resource Conservation and Recovery Act hazardous waste, universal waste, and mixed low-level wastes at the WIPP site. The surveillance also evaluated and verified the implementation and effectiveness of applicable NWP implementing procedures.	n/a	S	E
				CARs 22-036 and 22-037		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-22-16 Shadow Assessment	04/04 – 04/14/22	Evaluated NWP QA performing Surveillance WIPP-ASMT-22-0219 of NWP's Mining Element, which includes the Probe Hole and Core Hole Drilling; Geologic and Fracture Mapping of Facility Horizon Drifts; Geologic Core Logging; and WIPP Core Storage, Handling, and Distribution.	n/a	S	E
NWP	S-22-17 Shadow Assessment	04/23 – 05/05/22	Evaluated the implementation and effectiveness of the NWP QA Surveillance Program through the team's ability to schedule, plan, and initiate the WIPP-ASMT-22-0224 NWP Ground Control and Geotechnical Monitoring Element Surveillance. The scope of the surveillance was to evaluate the geotechnical department's installation of new convergence reference points, or for reinstallation.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-22-18 Shadow Assessment	05/16 – 05/26/22	Evaluated NWP QA performing Audit WIPP-ASMT-22-0253 Environmental Monitoring & Meteorology. The audit was to verify the adequacy and effectiveness of the WIPP Environmental Monitoring Program and its compliance with DOE Order 458.1, *Radiation Protection of the Public and the Environment* (Attachment 1, Contractor Requirements Document), the Permit, DOE/WIPP-99-2194, *Waste Isolation Pilot Plant Environmental Monitoring Plan*, and applicable requirements of the NWP QAPD.	n/a	S	E
NWP	S-22-19 Shadow Assessment	05/23 – 05/26/22	Evaluated the NWP QA performing Audit WIPP-ASMT-22-0252 VOC Monitoring Program. The scope of the NWP QA audit was to evaluate the adequacy and effective implementation of the VOC Monitoring Program for compliance with the Permit and in accordance with the NWP QAPD.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-22-22	09/27 – 09/29/22	Evaluated the implementation and effectiveness of the CMR Transportation Tracking and Communication shipment monitoring operations at the WIPP site.	n/a	S	E
				CARs 22-052 and 22-053		
NWP	S-22-24 Shadow Assessment	09/06 – 09/13/22	Evaluated the implementation and effectiveness of the NWP QA audit process through the team's ability to schedule, plan, and initiate the Audit I22-02 of the WIPP Laboratories IN-VITRO Radio-bioassay Program.	n/a	S	E
NWP	S-22-26 Shadow Assessment	02/15 – 02/16/22	Evaluated NWP QA's oversight of Premier Technology's implementation of their welding program for the manufacture of Embeds and Ductwork for the SSCVS that supports the WIPP underground repository.	n/a	S	E
NWP	S-22-27 Shadow Assessment	01/11 – 01/19/22	Evaluated the adequacy of completed data packages for filter housings from IONEX. The surveillance was conducted concurrently with NWP QA Oversight Programs as they conducted their own surveillance, WIPP-ASMT-21-0210.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-22-28	07/25 – 10/04/22	Evaluated NWP activities related to the delivery, receipt inspection, and storage of the six 1000-horsepower fans purchased for the SSCVS at the WIPP site. The fans were provided under Encorus purchase order (PO) 508752 (Encorus Group [Corporate Office] Springville, New York) with Clarage Fan in Pulaski, Tennessee, as the manufacturer.	n/a	S	E
				CAR 22-051		
NWP	S-22-30 Shadow Assessment	04/12/22	Observed a surveillance conducted by NWP and evaluated the NWP QA's oversight of TIC's contractor, Tindall Corporation, performing Walls and Columns Production (NWP PQOG Surveillance 2022-SR-0016). The surveillance assessed pre-pour and concrete placement in forms for precast NFB walls and columns with embedded plate placement.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-22-31 Shadow Assessment	06/07/22	Evaluated NWP QA's oversight of TIC's quality control inspectors performing a survey of the Batch Plant owned and operated by Southeast Readi-Mix Products, Inc. (NWP PQOG Surveillance 2022-SR-0041 and TIC Dedication Package No.: 500655-416-CGD-00002, Revision 2, Southeast Readi-Mix Products, Inc. Commercial Grade Survey, Date 6/7/2022)	n/a	S	E
NWP	S-22-32 Shadow Assessment	05/17 – 05/25/22	Observed a surveillance conducted by NWP and evaluated NWP QA's oversight of TIC's SS material for storage and traceability. The material is for the WIPP SSCVS associated with the WIPP NFB. (PQOG Surveillance Report Number 2022-SR-0031).	n/a	S	E
NWP	S-22-33 Shadow Assessment	04/06 and 04/07/22	Evaluated NWP QA's oversight of TIC's embedded plate fabricator, Vulcan (NWP PQOG Surveillance 2022-SR-0012). The embed plates were shipped to the Tindall Corporation in San Antonio, TX, for placement in precast walls and columns for the WIPP NFB.	n/a	S	E
NWP	S-22-39	09/20 – 09/21/22	Evaluated the degree of effective implementation of the requirements established in the NWP CGID program.	n/a	S	E
				CAR 22-048		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-22-40	09/09/22	Evaluated the SSCVS construction documentation delivery schedule for Commercial Grade Dedication packages.	n/a	S	E
NWP	QAD-S-23-13 Shadow Assessment	01/03 – 01/17/23	Evaluated NWP QA performing Audit I23-04, Software Quality, Information Technology, and Cybersecurity Programs.	n/a	S	E
NWP	QAD-S-23-20 Shadow Assessment	10/31 – 11/07/22	Evaluated the implementation and effectiveness of the NWP QA audit process and the audit team's ability to schedule, plan, and initiate the Audit E23-02 of the Triad QSL.	n/a	S	E

[a] In the shadow assessment process, the CBFO QA, under the guidance of the CBFO OP 10.4, *Surveillances*, utilizes the M&O contractor's QA program assessment of an organization or process to meet the requirements for completing an independent review of that organization or process.
n/a = not applicable

Table AUD-11. Salado Isolation Mining Contractors Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SIMCO	QAD-A-23-03	08/29 – 08/31/23	Evaluated the adequacy, implementation, and effectiveness of the SIMCO Integrated Safety Management System.	A	S	E
				CARs 24-001, 24-002, and 24-003.		
SIMCO	QAD-A-23-18	06/26 – 06/30/23	evaluated the adequacy of SIMCO procedures with respect to CBFO and SIMCO QA requirements. Auditors observed the implementation of surface and underground CH waste handling operations procedures, along with audits and surveillances of waste container handling at the WIPP. The effectiveness of implementing and documenting procedure work steps was also evaluated.	A	S	E
				CARs 23-032, 23-033, 23-034, 23-035, and 23-036		
SIMCO	QAD-A-23-20	03/28 – 03/30/23	Evaluated the adequacy, implementation, and effectiveness of the SIMCO Maintenance Management and Calibration programs.	A	S	E
				CARs 23-021, 23-022, 23-023, and 23-024		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SIMCO	QAD-A-23-24	06/06 – 06/08/23	Evaluated the degree of adequacy, implementation, and effectiveness of the SIMCO CCP QA Program established for controlling quality-affecting activities associated with CCP characterization and certification of TRU waste destined for disposal at the WIPP.	A	S	E
				CARs 23-030 and 23-031		
SIMCO	QAD-A-23-36	04/04 – 04/06/23	Evaluated the adequacy, implementation, and effectiveness of the SIMCO NESHAP Environmental Monitoring program	A	S	E
SIMCO	QAD-A-24-05	11/14 – 11/16/23	Evaluated the adequacy, implementation, and effectiveness of the SIMCO CAS program.	A	S	E
				CAR 24-010		
SIMCO	QAD-A-24-07	06/25 – 06/27/24	Evaluated the incorporation of the CBFO and regulatory requirements in documents used to implement the SIMCO Quality Management System program.	A	S	E
				CAR 24-037		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SIMCO	QAD-A-24-11	04/30 – 05/02/24	Evaluated the degree of adequacy, implementation, and effectiveness of the SIMCO CCP QA program established for controlling quality-affecting activities associated with CCP characterization and certification of TRU waste destined for disposal at the WIPP.	A	S	E
				CARs 24-030 and 24-031		
SIMCO	QAD-A-25-01	12/10 – 12/12/24	Evaluated the adequacy, implementation, and effectiveness of the SIMCO CAS program.	A	S	E
				CARs 25-004, 25-006, 25-007, and 25-008		
SIMCO	QAD-S-23-07 Shadow Assessment[a]	06/09 – 06/29/23	Verified the adequacy and implementation of the SIMCO QA program with respect to an audit of the SIMCO Emergency Management program.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SIMCO	QAD-S-23-10 Shadow Assessment	04/24 – 05/04/23	Evaluated the implementation and effectiveness of the SIMCO QA audit process through the audit team's ability to schedule, plan, initiate, and perform Audit I23-08. The purpose of the audit was to evaluate the adequacy and effective implementation of the Management and Operating Technical Training Program for compliance with DOE Order 426.2, "Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities," and 30 CFR Part 48, "Training and Retraining of Miners."	n/a	S	E
SIMCO	QAD-S-23-12 Shadow Assessment	03/20 – 03/30/23	Evaluated SIMCO QA while they performed I23-07, Conduct of Operations Program Audit.	n/a	I	I
				The CTAC surveillance team determined that the SIMCO QA Auditors performed the I23-07, Conduct of Operations Audit, in accordance with WP 13-QA.03, but not at the level of quality that was observed in other Shadow Assessments. Based on the I23-07 Audit Report, objective evidence, and CTAC observations, the adequacy and effective implementation of the Conduct of Operations program is indeterminate.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SIMCO	QAD-S-23-13 Shadow Assessment	01/03 – 01/17/23	Evaluated NWP QA performing Surveillance I23-04 of NWP's safety software.	n/a	S	E
SIMCO	QAD-S-23-14 Shadow Assessment	01/24 – 01/25/23	Verified implementation and effectiveness of the NWP oversight during preparations for testing of computer software being developed by the Scientech Division of Curtiss-Wright Nuclear for the WIPP SSCVS project.	n/a	S	E
SIMCO	QAD-S-23-15 Shadow Assessment	09/11 – 09/15/23	Verified the continued ability of the Capital Asset project to retrieve QA records promptly. The surveillance is a follow-up to Surveillance S-21-19, which identified issues with the project's ability to locate and retrieve QA records from the SharePoint database maintained by APTIM.	n/a	S	E
SIMCO	QAD-S-23-17 Shadow Assessment	05/22 – 06/01/23	Evaluated the implementation and effectiveness of the SIMCO QA Audit I23-11. The purpose of the audit was to evaluate the adequacy and effective implementation of the VOC Monitoring program for compliance with the Permit, in accordance with the NWP QAPD.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SIMCO	QAD-S-23-18 Shadow Assessment	05/08 – 05/22/23	Evaluated the SIMCO QA Surveillance S23-18. The purpose of this surveillance was to evaluate the monitoring and reporting activities required by the DP-831 as outlined in WP 02-2, *WIPP Discharge Permit 831 Monitoring and Maintenance Plan*.	n/a	S	E
SIMCO	QAD-S-23-21 Shadow Assessment	06/20 – 06/22/23	Verified the implementation and effectiveness of SIMCO QA actions to review, approve, and verify the closure of conditions adverse to quality (called Deviations) identified during SIMCO QA's oversight surveillance activities. The scope selected a random sample of recently closed surveillance reports of TIC's QA program	n/a	S	E
SIMCO	QAD-S-23-29 Shadow Assessment	04/24 – 04/27/23	Evaluated SIMCO QA while they performed S23-16, Geomechanical Monitoring & Ground Control Surveillance.	n/a	S	E
SIMCO	QAD-S-23-32 Shadow Assessment	09/11 – 09/15/23	Shadowed Bechtel's corporate external assessment team during the conduct of QA-23-IPA-0023, Independent Triennial Assessment of SIMCO Quality Assurance.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SIMCO	QAD-S-23-39 Shadow Assessment	02/07 – 02/09/23	Verified the implementation and effectiveness of SIMCO QA's coverage of QA hold points contained in the Inspection and Test Plan for items within the Safety Significant Drilled Concrete Shafts developed for the WIPP SSCVS project.	n/a	S	E
SIMCO	QAD-S-23-41 Shadow Assessment	05/01 – 05/04/23	Verified the implementation and effectiveness of SIMCO QA's oversight of Ruskin's fabrication of Flow Control Dampers that Curtiss-Wright Nuclear is supplying to TIC for SIMCO and WIPP.	n/a	S	E
SIMCO	QAD-S-23-43 Shadow Assessment	06/18 – 06/21/23	Verified the implementation and effectiveness of SIMCO's QA oversight during Factory Acceptance Testing of the Continuous Air Monitoring system for the SSCVS currently under construction at the WIPP.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SIMCO	QAD-S-23-45 Shadow Assessment	09/12 – 09/15/23	Verified the effectiveness and sustained corrective actions addressing two findings resulting in CARs 22-007 and 22-008 identified by CTAC while conducting shadow assessment S-22-05. Other surveillance activities included a review of implementation and sustained corrective actions of the RADCON issues identified by the Maintenance & Operations QA program (currently SIMCO QA) audit team during the I21-11, Radiation Protection Program (2nd year), audit conducted November 01–15, 2022.	n/a	S	E
SIMCO	QAD-S-23-46 Shadow Assessment	07/10 – 07/18/23	Evaluated the SIMCO QA S23-14, Mining Element Surveillance. The purpose of the surveillance was to evaluate health and safety standards for the WIPP underground operations in accordance with 30 CFR 57, “Safety and Health Standards.”	n/a	S	E
SIMCO	QAD-S-23-49 Shadow Assessment	08/24 – 08/25/23	Verified the implementation and effectiveness of SIMCO QA's oversight of the shop testing of safety doors Walz & Krenzer is supplying to TIC, the SIMCO general subcontractor for the SSCVS project.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SIMCO	QAD-S-23-54 Shadow Assessment	07/20 – 07/23/23	Evaluated SIMCO QA during Surveillance 2023-SR-0036, conducted to verify the effectiveness of TIC's Control of Measuring and Test Equipment program.	n/a	S	E
SIMCO	QAD-S-23-55 Shadow Assessment	08/28 – 08/30/23	Verified the implementation and effectiveness of SIMCO QA's oversight of Ruskin's Factory Acceptance Testing of flow control dampers being supplied by Curtiss-Wright Nuclear to TIC, the SIMCO general subcontractor for the SSCVS project, from final assembly through final inspection.	n/a	S	E
SIMCO	QAD-S-24-01 Shadow Assessment	10/23– 10/27/23	Verified the implementation and effectiveness of the SIMCO QA oversight during Factory Acceptance Testing of safety-significant control panels being manufactured for the WIPP SSCVS project.	n/a	S	E
SIMCO	QAD-S-24-02 Shadow Assessment	02/05– 02/06/24	Verified the implementation and effectiveness of SIMCO QA's oversight of Ruskin's Factory Acceptance Testing of the large 13'x13' Flow Control Dampers being supplied by Curtiss-Wright Nuclear to TIC for SIMCO, the SSCVS, and the WIPP.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SIMCO	QAD-S-24-03 Shadow Assessment	08/19–08/22/24	Verified and validated the implementation and effectiveness of SIMCO QA's oversight of TIC/Kiewit's adherence to their work package procedure regarding the preparation, use, and closeout, as well as their Nonconformances and Regulatory Reporting process. Additionally, CBFO evaluated SIMCO QA's oversight of the effectiveness of the implemented corrective actions associated with a SIMCO Condition Report, CR-2023-6500 resulting in a TIC/Kiewit site-wide "pause work". The Condition Report was issued on March 6, 2023, for failure to follow the material control procedure and work package documentation requirements.	n/a	S	E
SIMCO	QAD-S-24-04 Shadow Assessment	10/09–10/13/23	Verified SIMCO's QA in the conduct of Audit E24-01 as they evaluated TIC's compliance to TIC QA procedures and processes. The audit results support a decision to retain TIC on the SIMCO QSL.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SIMCO	QAD-S-24-05 Shadow Assessment	11/14–11/16/23	Verified that SIMCO effectively implemented QA program requirements and procedures for AR/VRs and Engineering Change Notices from suppliers and contractors used in the fabrication and construction of the WIPP SSCVS. This surveillance evaluated the SIMCO processes for handling, reviewing, approving/rejecting suppliers' technical submittals (AR/VRs and Engineering Change Notices), as well as following-up on previous CARs 20-022, 20-023, 20-024, and 20-025 resulting from Surveillance S-20-28.	n/a	S	E
SIMCO	QAD-S-24-07 Shadow Assessment	05/16/24, 06/12/24	Verified the implementation and effectiveness of SIMCO QA oversight of Spendrup Fan Company during functional testing of the two surface intake fans being manufactured for the WIPP project. The CBFO participated remotely in the testing of fan number one and provided a technical expert to shadow SIMCO QA on the testing of fan number two.	n/a	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SIMCO	QAD-S-24-99	01/30/24-02/01/24	Evaluated the adequacy, implementation, and effectiveness of the SIMCO Software QA program according to the NWP QAPD and WP 16-2, *Software Screening and Control*, requirements. The CTAC surveillance team also evaluated SIMCO's ability to implement software QA processes and procedures.	n/a	S	E
SIMCO	QAD-S-25-01	11/05–11/07/24	Verified the implementation and effectiveness of the SIMCO procurement work package supporting the work completion of the pumphouse at the WIPP site.	n/a	S	E
				CAR 25-001		

[a] In the shadow assessment process, the CBFO QA, under the guidance of the CBFO OP 10.4, *Surveillances*, utilizes the M&O contractor's QA program assessment of an organization or process to meet the requirements for completing an independent review of that organization or process.
n/a = not applicable

Table AUD-12. Sandia National Laboratories-Carlsbad Programs Group Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SNL/CPG	A-18-06	07/17 – 07/19/18	Verified the adequacy, implementation, and effectiveness of the SNL/CPG QA program for activities in support of the WIPP in accordance with the requirements of the CBFO QAPD. The evaluation included QA and technical reviews of completed and in-process record packages associated with the WIPP CRA, the hydrology field program, performance assessment (PA) activities and sensitivity analysis, as well as related processes.	A	S	E
SNL/CPG	A-19-23	02/26 – 02/28/19	Verified the adequacy, implementation, and effectiveness of the SNL/CPG QA program for activities in support of the WIPP in accordance with the requirements of the CBFO QAPD. The evaluation included QA and technical reviews of completed and in-process record packages associated with the WIPP CRA, the hydrology field program, PA activities and sensitivity analysis, as well as related processes.	A	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SNL/CPG	A-20-11	02/25 – 02/27/20	Verified the adequacy, implementation, and effectiveness of the SNL/CPG QA program for activities in support of the WIPP in accordance with the requirements of the CBFO QAPD. The evaluation included QA and technical reviews of completed and in-process record packages associated with the WIPP CRA, the hydrology field program, PA activities and sensitivity analysis, as well as the evaluation of the effectiveness of software QA controls.	A	S	E
				CAR 20-013		
SNL/CPG	QAD-A-24-10	06/11 – 06/13/24	Verified the adequacy, implementation, and effectiveness of the SNL/CPG QA program for activities in support of the WIPP in accordance with the requirements of the CBFO QAPD. The evaluation included QA and technical reviews of completed and in-process record packages associated with the WIPP CRA, the hydrology field program, PA activities and sensitivity analysis, as well as the evaluation of the effectiveness of software QA controls.	A	S	E

Table AUD-13. Carlsbad Field Office Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
CBFO	S-18-22	07/24 – 07/26/18	Verified the implementation and effectiveness of contractual requirements issued by CBFO to NWP for the Capital Asset Acquisition project to perform the applicable work scope.	n/a	S	E

n/a = not applicable

Table AUD-14. Supplier Assessments

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
CAST Specialty Transportation, Inc. (CAST)	A-18-01	02/06 – 02/07/18	Evaluated the implementation and effectiveness of CAST for compliance with the DOE Contract and upper-tier requirement documents.	A	S	E
CAST	A-19-04	03/05 – 03/07/19	Evaluated the adequacy, implementation, and effectiveness of CAST for compliance with the DOE Contract and upper-tier requirement documents.	A	S	E
CAST	A-21-04	05/04 – 05/06/21	Evaluated the adequacy, implementation, and effectiveness of CAST for compliance with the DOE Contract and upper-tier requirement documents.	A	S	E
				CAR 21-014		
CAST	A-23-05	10/25 – 10/27/22	Evaluated the implementation and effectiveness of CAST for compliance with the DOE Contract and upper-tier requirement documents.	A	S	E
				CARs 23-006 and 23-007		
CAST	QAD-A-24-01	01/23 – 01/25/24	Evaluated the implementation and effectiveness of CAST for compliance with the DOE Contract and upper-tier requirement documents.	A	S	E

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
Nuclear Filter Technology-Engineered Products Division (NFT-EPD)	A-18-20	01/09 – 01/11/18	Evaluated the adequacy, implementation, and effectiveness of compliance with the statement of work from PO 501654.	A	S	E
NFT-EPD	S-22-20	08/09 – 08/11/22	Evaluated the adequacy, implementation, and effectiveness of the NFT-EPD compliance with the statement of work elements from PO 510930.	n/a	S	E
Aleut Aerospace Engineering, Transportation and Communication System (Aleut)	S-20-01	06/16 – 06/18/20	Evaluated the implementation and effectiveness of Aleut operations at the Skeen-Whitlock Building.	n/a	S	E

n/a = not applicable

AUD-2.0 REFERENCES

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

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U.S. Environmental Protection Agency (EPA). 1993. 40 CFR Part 191: Environmental Radiation Protection Standards for the Management and Disposal of Spent Nuclear Fuel, High Level and Transuranic Radioactive Wastes; Final Rule. *Federal Register*, vol. 58 (December 20, 1993): 66398-416.

U.S. EPA. 1996. 40 CFR Part 194: Criteria for the Certification and Recertification of the Waste Isolation Pilot Plant's Compliance With the 40 CFR Part 191 Disposal Regulations; Final Rule. *Federal Register*, vol. 61 (February 9, 1996): 5223-5245.