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**Title 40 CFR Part 191  
Subparts B and C  
Compliance Recertification Application 2019  
for the  
Waste Isolation Pilot Plant**

**Appendix AUD-2019  
Audits and Surveillances**



**United States Department of Energy  
Waste Isolation Pilot Plant**

Carlsbad Field Office  
Carlsbad, New Mexico

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**Compliance Recertification Application 2019**  
**Appendix AUD**

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### Acronyms and Abbreviations

A	audit
AK	acceptable knowledge
AMWTP	Advanced Mixed Waste Treatment Project
ANL	Argonne National Laboratory
AR/VR	Approval Request/Variance Request
ASME	American Society of Mechanical Engineers
BOK	Basis of Knowledge
CAP	corrective action plan
CAQ	condition adverse to quality
CAR	corrective action report
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
CMS	Central Monitoring System
CPP	Centralized Procurement Program
CRA	Compliance Recertification Application
DOE	U.S. Department of Energy
DOT	U.S. Department of Transportation
DSA	Documented Safety Analyses
DTC	dose-to-curie
EM	DOE Environmental Management
FAT	functional acceptance testing
GSTR	Generator Site Technical Review
HSG	headspace gas
I	indeterminate

ICE	Issue Collection and Evaluation
IE	Intermountain Electric
INL	Idaho National Laboratory
IVP	Interim Ventilation Project
IVS	interim ventilation system
JON	Judgement of Need
LANL	Los Alamos National Laboratory
LANL-CO	Los Alamos National Laboratory – Carlsbad Operations
M	marginal
M&TE	measuring and test equipment
MP	management procedure
N/A	not applicable
NABC	Nondestructive Assay Box Counter
NCR	nonconformance report
NDA	nondestructive assay
NESHAP	National Emission Standards for Hazardous Air Pollutants
NFT/EPD	Nuclear Filter Technology-Engineered Products Division
NQA	nuclear quality assurance
NTP	National TRU Program
NWP	Nuclear Waste Partnership LLC
ORNL	Oak Ridge National Laboratory
PDP	Performance Demonstration Program
Permit	WIPP Hazardous Waste Facility Permit
PERT	Procurement Evaluation and Re-Engineering Team
PP	procurement package
QA	quality assurance
QAPD	Quality Assurance Program Document
QSL	Qualified Supplier List
RADCON	Radiological Control
RCRA	Resource Conservation and Recovery Act
RES	Regulatory and Environmental Services
RH	remote-handled
RH-TRU	remote-handled transuranic

RJR	RJR Engineering P.C.
RL	Hanford-Richland
RTR	real-time radiography
S	satisfactory; surveillance
SCG	Summary Category Group
S/CI	Suspect/Counterfeit Items
SNL	Sandia National Laboratories
SNL/CPG	Sandia National Laboratories/Carlsbad Programs Group
SQA	software quality assurance
SRS	Savannah River Site
SVS	supplemental ventilation system
SWB	standard waste box
TRANSCOM	Transportation Tracking and Communication
TRU	transuranic
TRUPACT-II	Transuranic Package Transporter-II
TRUPACT-III	Transuranic Package Transporter-III
U	unsatisfactory
URS	Universal Research Services Corporation
VE	visual examination
VOC	volatile organic compound
VS	Visionary Solutions, LLC
WAC	Waste Acceptance Criteria
WAP	Waste Analysis Plan
WCPIP	Waste Characterization Program Implementation Plan
WCRRF	Waste Characterization, Reduction, and Repackaging Facility
WCS	Waste Control Specialists
WDS	Waste Data System
WHB	Waste Handling Building
WIPP	Waste Isolation Pilot Plant
WWIS	WIPP Waste Information System

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## AUD-1.0 Introduction

This appendix to the 2019 Compliance Recertification Application (CRA-2019) summarizes assessments (i.e., audits and surveillances) performed to evaluate the adequacy and implementation of Waste Isolation Pilot Plant (WIPP) participant organizations' quality assurance (QA) programs, as well as compliance with DOE/CBFO-94-1012, Carlsbad Field Office (CBFO) *Quality Assurance Program Document* (QAPD) ([U.S. DOE 2010](#), [2015](#), [2017](#)) and the WIPP Hazardous Waste Facility Permit (Permit) ([NM4890139088-TSDF](#)). The basis of the CBFO QA program is to demonstrate compliance with the requirements of 40 CFR 194.22.

There are 13 tables, Tables AUD-1 through AUD-13, in this appendix that provide a summary of the assessments carried out from the CRA-2014 data cut-off date (December 31, 2012) to January 8, 2018, and supplements the information contained in the CRA-2014 ([U.S. DOE 2014](#)). Some assessments were performed prior to the end of the Appendix AUD-2014 reporting period; however, the assessments were not considered complete until the final report was finished and associated regulatory approvals (if required) were obtained.

The following organizations were assessed: Idaho National Laboratory (INL) and INL Analytical Laboratories; Los Alamos National Laboratory (LANL); Los Alamos National Laboratory – Carlsbad Operations (LANL-CO); Hanford-Richland Site; Nuclear Waste Partnership LLC (NWP); Sandia National Laboratories – Carlsbad Programs Group (SNL/CPG); Savannah River Site (SRS); the U.S. Department of Energy (DOE) CBFO; Oak Ridge National Laboratory (ORNL); Advanced Mixed Waste Treatment Project (AMWTP); Argonne National Laboratory (ANL); Sandia National Laboratories (SNL); and suppliers performing quality-affecting work.

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

The summary tables identify the organization assessed, assessment number, assessment scope, and assessment results. Assessment results are expressed as “satisfactory” (S), “marginal” (M), “unsatisfactory” (U), “not applicable” (N/A), or “indeterminate” (I) for the three factors considered during an assessment (adequacy, implementation, and effectiveness). Assessments may also identify conditions adverse to quality (CAQs) resulting in the issuance of corrective action reports (CARs), deficiencies corrected and verified prior to the end of the assessments, and/or observations and recommendations that should be communicated to the assessed organization. The summary tables only list CAQs with CARs by their CAR numbers. Most of these CARs have been closed. A brief description of the CAQ is included in the summary table for the few CARs that have not been resolved (i.e., open CARs) by January 8, 2018.

For assessments resulting in findings of M, U, and/or I, decisions are applied to address the concerns, issues, or CAQs identified until a satisfactory (S) result is achieved. Assessment findings of M, U, and I at transuranic (TRU) waste sites can be corrected or satisfactorily

addressed and verified through subsequent audits, surveillances, CARs, or other means prior to initial certification or continued certification for shipping waste to the WIPP.

Only those CBFO assessment activities directly related to 40 CFR Parts 191 ([U.S. EPA 1993](#)) and 194 ([U.S. EPA 1996](#)) are included in this appendix. Additional CBFO assessments are performed in other critical areas that affect 40 CFR Parts 191 and 194, and are included in this CRA-2019. The critical areas include areas necessary to provide adequate protection to public, workers, and the environment. In addition, each participant organization performs internal assessments of its own activities.

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

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
INL	A-13-18	06/03 – 06/06/13	Evaluated continued adequacy, implementation and effectiveness of technical and QA elements as they relate to the Permit for characterization and certification of contact-handled (CH) Summary Category Groups (SCGs) S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste, and remote-handled (RH) SCGs S3000 homogenous solids waste and S5000 debris waste.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the Permit, CBFO QAPD, contract, and statement of work, as well as the INL implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		
INL Analytical Labs	A-13-19	07/09 – 07/11/13	Evaluated continued adequacy, implementation and effectiveness of INL Analytical Labs TRU waste characterization activities performed under the Central Characterization Program (CCP). Activities evaluated included headspace gas (HSG) analysis of SCG S5000 debris wastes; analysis of S3000 homogeneous solids and S4000 soils/gravel; generation-level data verification and validation of S3000 homogeneous solids, S4000 soils/gravel, and S5000 debris wastes; and SUMMA® canister preparation and certification for use by other generator sites.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, and the INL Analytical Labs implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective. This audit was considered to be a close-out audit of the laboratory facilities for HSG and Solids analysis at the INL.		
INL	A-14-18	06/03 – 06/05/14	Evaluated continued adequacy, implementation and effectiveness of technical and QA elements as they relate to the Permit for characterization and certification of CH SCGs S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste, and RH SCGs S3000 homogenous solids waste and S5000 debris waste.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the Permit, CBFO QAPD, contract, and statement of work, as well as the INL implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective. The audit team identified three CAQs resulting in the issuance of three CARs: 14-044, 14-046, and 14-047.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
INL	A-15-18	06/16 – 06/18/15	Evaluated continued adequacy, implementation, and effectiveness of technical and QA elements as they relate to the Permit for characterization and certification of SCGs S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste, and RH SCGs S3000 homogenous solids waste and S5000 debris waste.	S	S	S
				<p>The defined QA program was satisfactorily implemented in accordance with the Permit, CBFO QAPD, contract, and statement of work, as well as the INL implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.</p> <p>The audit team identified one CAQ resulting in the issuance of CAR 15-050.</p>		
INL	A-16-18	06/14 – 06/16/16	Evaluated continued adequacy, implementation, and effectiveness of technical and QA elements as they relate to the Permit for characterization and certification of SCGs S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste, and RH SCGs S3000 homogenous solids waste and S5000 debris waste.	S	S	S
				<p>The defined QA program was satisfactorily implemented in accordance with the Permit, CBFO QAPD, contract, and statement of work, as well as the INL implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.</p> <p>The audit team identified one CAQ resulting in the issuance of CAR 16-045.</p>		
INL	A-17-23	06/13 – 06/15/17	Evaluated continued adequacy, implementation, and effectiveness of technical and QA elements as they relate to the Permit for characterization and certification of SCG S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste, and RH SCGs S3000 homogenous solids waste and S5000 debris waste.	S	I	I
				<p>The defined QA program was satisfactorily implemented in accordance with the Permit, CBFO QAPD, contract, and statement of work, as well as the INL implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.</p> <p>CBFO has not provided approved Basis of Knowledge (BOK) documents, as required by DOE/WIPP-07-3372, WIPP Documented Safety Analysis (DSA). The audit team was unable to verify full implementation of the enhanced acceptable knowledge (AK) required by DOE/WIPP-02-3122, Transuranic Waste Acceptance Criteria for the Waste Isolation Pilot Plant (WAC), and any waste certification activities; therefore, both AK and WIPP Waste Information System (WWIS)/Waste Data System (WDS) were deemed indeterminate (I).</p> <p>One CAQ resulting in the issuance of CAR 17-036 was identified during the audit.</p>		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
INL Analytical Labs	S-13-17	01/09 – 01/10/13	Evaluated the operability, implementation and effectiveness of the Gas Chromatography Unit 7 instrument procedures for detection of non-halogenated volatile organic compounds supporting SCG S3000 solids and S4000 soils/gravel waste relative to the requirements of the Permit.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the Permit, CBFO QAPD, and the INL Analytical Labs implementing procedures for non-halogenated volatile organic compounds using the Gas Chromatography Unit 7. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		
INL	S-13-19	01/24/13	Evaluated the implementation and effectiveness of policies, plans, and procedures related to the Accelerated Retrieval Project V Visual Examination Technique of CH SCG S3114 homogenous solids waste performed at INL by the CCP.	S	S	S
				The INL/CCP Accelerated Retrieval Project visual examination (VE) activities were considered to be adequate, satisfactorily implemented, and effective.		
INL	S-17-30	03/21 – 03/31/17	Evaluated the INL/CCP preparation to ship INL/CCP Waste Stream ID-RF-S3114 (SCG S3000) for compliance to the WIPP DSA, Revision 5b, and the WAC, Revision 8, Appendix I. This audit also addressed Corrective Action Plan (CAP) for WA-1.PRE CAP, developed in response to issues DOE-2-PreShip 1 as identified in the Office of Environmental Management (EM) Management Assessment Report for the Resumption of the National Transuranic Waste Program issued in March 2017.	S	S	S
				Activities associated with the WIPP DSA of waste stream ID-RF-S3114 were considered to be satisfactorily implemented, and effective to the upper-tier requirements.		

**Table AUD-2. Los Alamos National Laboratory Assessments**

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL	A-13-23	07/23 – 07/25/13	Evaluated the continued adequacy, implementation, and effectiveness of LANL TRU waste characterization and transportation activities for CH SCG S3000 homogeneous solids, SCG S4000 soils/gravel waste and S5000 debris wastes performed for LANL by NWP/CCP relative to the requirements detailed in the Permit, CBFO QAPD, and other upper-tier requirement documents.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the Permit, CBFO QAPD, and requirement documents. Technical areas evaluated were adequate, satisfactorily implemented, and effective for compliance with the Permit. One CAQ resulting in the issuance of CAR 13-051 was identified during the audit.		
LANL	A-14-19	08/19 – 08/21/14	Evaluated the continued adequacy, implementation, and effectiveness of LANL TRU waste characterization and transportation activities for S4000 soils/gravel waste and S5000 debris waste, performed for LANL by NWP/CCP relative to the requirements detailed in the Permit, CBFO QAPD, and other upper-tier requirement documents.  SCG S3000 waste was not evaluated during this audit because the characterization activities associated with TRU waste disposition of SCG S3000 and all waste processed at the Waste Characterization, Reduction, and Repackaging Facility (WCRRF) were suspended by CBFO (Memorandum CBFO:NTP:JRS:MAG:14-1947, dated July 16, 2014). Upon completion of the investigation and the implementation of required corrective actions, the CBFO will conduct an audit to re-evaluate SCG S3000 waste characterization activities at LANL/CCP.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the Permit, CBFO QAPD, and requirement documents. Technical areas evaluated were adequate, satisfactorily implemented, and effective for compliance with the Permit.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL	A-15-21	09/01 – 09/03/15	<p>Evaluated the continued adequacy, implementation, and effectiveness of LANL TRU waste characterization and transportation activities for S4000 soils/gravel waste and S5000 debris waste, performed for LANL by NWP/CCP relative to the requirements detailed in the Permit, CBFO QAPD, and other upper-tier requirement documents.</p> <p>Waste characterization processes for SCG S3000 waste at the WCRRF have been suspended since the previous audit (A-14-19).</p>	S	S	S
				<p>The defined QA program was satisfactorily implemented in accordance with the Permit, CBFO QAPD, and requirement documents. Technical areas evaluated were adequate, satisfactorily implemented, and effective for compliance with the Permit.</p> <p>One CAQ resulting in the issuance of CAR 15-063 was identified during the audit.</p>		
LANL	A-16-19	05/17 – 05/19/16	<p>Evaluated the continued adequacy, implementation, and effectiveness of LANL TRU waste characterization and transportation activities for S4000 soils/gravel waste and S5000 debris waste, performed for LANL by NWP/CCP relative to the requirements detailed in the Permit, CBFO QAPD, and other upper-tier requirement documents.</p> <p>Waste characterization processes for SCG S3000 waste at the WCRRF have been suspended since the previous audit (A-15-21).</p>	S	S	S
				<p>The defined QA program was satisfactorily implemented in accordance with the Permit, CBFO QAPD, and requirement documents. Technical areas evaluated were adequate, satisfactorily implemented, and effective for compliance with the Permit.</p>		
LANL	A-17-17	05/16 – 05/18/17	<p>Evaluated the continued adequacy, implementation, and effectiveness of LANL TRU waste characterization and transportation activities for S4000 soils/gravel waste and S5000 debris waste, performed for LANL by NWP/CCP relative to the requirements detailed in the Permit, CBFO QAPD, and other upper-tier requirement documents.</p> <p>Waste characterization processes for SCG S3000 waste at the WCRRF have been suspended since the previous audit (A-16-19).</p>	S	S	S
				<p>The defined QA program was satisfactorily implemented in accordance with the Permit, CBFO QAPD, and requirement documents. Technical areas evaluated were adequate, satisfactorily implemented, and effective for compliance with the Permit.</p> <p>One CAQ resulting in the issuance of CAR 17-037 was identified during the audit.</p>		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL	S-13-18	01/10/13	<p>Evaluated the implementation and effectiveness of LANL/CCP solids sampling and analysis activities related to the characterization of CH SCG S4000 soils/gravel waste to provide a basis for initial approval.</p> <p>During LANL/CCP Recertification Audit A-12-12, the CBFO Office of the National TRU Program (NTP) requested an initial audit of the S4000 characterization and certification process. At the conclusion of that audit, the audit team was unable to recommend approval of the process on the basis that LANL/CCP could not provide completed sampling and analytical batch data reports for the team's review. All other LANL/CCP processes relating to the characterization of S4000 waste were deemed adequate during Audit A-12-12.</p>	S	S	S
				<p>The surveillance team has reviewed the documentation supporting sampling and analysis activities, as well as final characterization of S4000 waste, and found them to be adequate, satisfactorily implemented and effective. Therefore, it was recommended that LANL/CCP be approved for the characterization of CH SCG S4000 soils/gravel waste as requested by NTP.</p>		
LANL	S-13-29	06/12/13	<p>Evaluated and observed the Canberra Industries nondestructive assay (NDA) Mobile In-Situ Object Counting System Large Container Counter system and related processes for the characterization of contact-handled transuranic (CH-TRU) waste in 55-gallon drums, standard waste boxes (SWBs), and corrugated metal boxes, in support of initial certification.</p>	S	S	S
				<p>LANL/CCP activities related to the characterization of CH-TRU SCG S3000 and S5000 wastes in 55-gallon drums, SWBs, and corrugated metal boxes on the Mobile In-Situ Object Counting System Large Container Counter system using the equipment and procedures examined and subject to the measurement controls in place, are adequately established for compliance with upper-tier requirements, satisfactory in the implementation of these requirements, and effective in achieving the desired results.</p>		
LANL	S-14-22	04/02 – 04/03/14	<p>Evaluated the adequacy, implementation, and effectiveness of the LANL/CCP transportation activities that direct CH-TRU waste payload building, Transuranic Package Transporter-II (TRUPACT-II) loading and maintenance activities, and shipment of TRUPACT-IIs to Waste Control Specialists (WCS) from LANL.</p>	S	S	S
				<p>The surveillance team determined that the LANL/CCP processes are adequate, satisfactorily implemented, and effective.</p>		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL	S-14-44	08/26 – 08/27/14	Evaluated the NDA processes and associated equipment used by the NWP/CCP at the LANL for the characterization of CH-TRU SCGs S4000 soils/gravel and S5000 debris wastes, excluding wastes processed through the WCRRF. SCG S3000 waste was not evaluated during this surveillance because the characterization activities associated with TRU waste disposition of SCG S3000 and all waste processed at the WCRRF were suspended (Memorandum CBFO:NTP:JRS:MAG:14-1947, dated July 16, 2014).	S	S	S
				The results of the surveillance indicate that the LANL/CCP activities related to NDA for the characterization of CH-TRU SCGs S4000 and S5000 wastes using the equipment and procedures examined and subject to the measurement controls in place are adequately established for compliance with upper-tier requirements, satisfactory in the implementation of these requirements, and effective in achieving the desired results.		
LANL	S-17-34	04/24 – 04/26/17	The surveillance team evaluated LANL/CCP preparations to ship waste from LANL/CCP Waste Stream LA-MHD01.001 (SCG S5000) for compliance with the WIPP DSA, section 18.8, and the WAC, Appendix I. This activity is performed to evaluate shipment readiness of specific waste containers stored at WCS in the Container Storage Building for compliance with upper-tier requirements.	S	S	S
				The surveillance team concluded that the applicable requirements of the CBFO QAPD, the WAC, WIPP DSA, CCP-TP-201, Verification of Shipping Criteria and Emplacement Criteria, and related QA and technical implementing procedures specific to LA-MHD01.001 waste containers stored at WCS identified in the surveillance report have been met. At this time, all necessary requirements for the completion of CCP-TP-201 Attachment 1 have been met except for the requirement for receipt of CBFO written approval to ship the waste stream or sub-population. After the written approval from CBFO to ship the specific LA-MHD01.001 containers stored at WCS is received, CCP-TP-201 Attachment 1 – SPM Previously Certified Waste Shipping Criteria Review Checklist can be completed, releasing the specific LA-MHD01.001 waste to be shipped from WCS to the WIPP.		
LANL	S-18-18	10/11 – 10/12/17	Verified the implementation and effectiveness of the NWP/CCP management assessment of the remediation of nitrate salts at the LANL WCRRF, with respect to the requirements of the current CBFO QAPD.	S	S	S
				The surveillance team concluded that the management assessment process, related to the remediation of nitrate salts campaign performed at the LANL WCRRF, is satisfactorily established for compliance with applicable upper-tier requirements, implementation is acceptable, and it is effective in achieving the desired results.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL	S-18-21	10/31 – 11/06/17	Evaluated LANL/CCP preparations to ship waste from LANL/CCP waste stream LA-OS-00-01.001 (SCG S5000) to the WIPP. This surveillance evaluated shipment readiness of LA-OS-00-01.001 waste containers stored at LANL for compliance with upper-tier requirements, including the WIPP DSA, section 18.8, and the WAC, Revision 8, Appendices H (H.5) and I. The surveillance also evaluated the approval of the enhanced AK requirements by the CBFO NTP.	S	S	S
				The surveillance team concluded that the applicable requirements of the CBFO QAPD, WAC, WIPP DSA, and related QA and technical implementing procedures specific to LA-OS-00-01.001 waste containers stored at LANL have been met in regards to the enhanced AK process.		

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

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL-CO	A-13-10	03/26 – 03/28/13	Evaluated adequacy, effectiveness, and implementation of requirements in the LANL-CO/Carlsbad Environmental Monitoring and Research Center (CEMRC) Interface Document, LANL-CO QA program, and LANL-CO implementing procedures.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, and the LANL-CO/CEMRC implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective. Three CAQs resulting in the issuance of CARs 13-017, 13-018, and 13-019 were identified during the audit.		
LANL-CO	A-14-11	04/04 – 04/06/14	Evaluated continued adequacy, effectiveness, and implementation of requirements in the LANL-CO/CEMRC Interface Document, LANL-CO QA program, and LANL-CO implementing procedures.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, and the LANL-CO/CEMRC implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective. One CAQ resulting in the issuance of CAR 14-024 was identified during the audit.		
LANL-CO	A-15-13	03/09 – 03/11/15	Evaluated continued adequacy, effectiveness, and implementation of requirements in the LANL-CO/CEMRC Interface Document, LANL-CO QA program, and LANL-CO implementing procedures.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, and the LANL-CO/CEMRC implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective. The audit team identified one CAQ which was corrected during the audit.		
LANL-CO	A-16-10	03/01 – 03/03/16	Evaluated continued adequacy, effectiveness, and implementation of requirements in the LANL-CO/CEMRC Interface Document, LANL-CO QA program, and LANL-CO implementing procedures.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, and the LANL-CO/CEMRC implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
LANL-CO	A-17-14	03/07 – 03/09/17	Evaluated continued adequacy, effectiveness, and implementation of requirements in the LANL-CO/CEMRC Interface Document, LANL-CO QA program, and LANL-CO implementing procedures.	S	S	S
				The defined QA program was satisfactorily implemented in accordance with the CBFO QAPD, and the LANL-CO/CEMRC implementing procedures. Technical areas evaluated were adequate, satisfactorily implemented, and effective.		

**Table AUD-4. Hanford-Richland Site Assessments**

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
Hanford-Richland (RL)	A-13-15	05/14 – 05/16/13	Evaluated the continued adequacy, implementation, and effectiveness of the Hanford/CCP TRU waste characterization activities for SCG S3000 homogeneous solids and S5000 debris waste to verify compliance with the applicable requirements of the Permit, the CBFO QAPD, and other requirement documents. Hanford/CCP suspended waste characterization activities at the end of September 2011 due to funding issue. No new containers of waste were introduced into the characterization process after September 2011.	I	I	I
				Since Hanford/CCP suspended waste characterization activities at the Hanford Site, the audit team was unable to evaluate HSG sampling, real-time radiography (RTR), VE, and NDA characterization activities in the field to determine the implementation and effectiveness of characterization procedures, or to verify personnel and equipment were available to continue characterization activities. The results of this audit have confirmed that CCP operations at the Hanford Site continue to be in a state of suspension. For this reason, the adequacy, implementation, and effectiveness of all aspects of the Hanford/CCP waste characterization activities continue to be indeterminate.		
RL	A-14-16	05/20 – 05/21/14	Evaluated the continued adequacy, implementation, and effectiveness of the Hanford/CCP TRU waste characterization activities for SCG S3000 homogeneous solids and S5000 debris waste to verify compliance with the applicable requirements of the Permit, the CBFO QAPD, and other requirement documents. Hanford/CCP waste characterization activities have been suspended, and no characterization activities have occurred since Audit A-13-15, conducted on May 14-16, 2013.	I	I	I
				Since Hanford/CCP suspended waste characterization activities at the Hanford Site, the audit team was unable to evaluate HSG sampling, RTR, VE, and NDA characterization activities in the field to determine the implementation and effectiveness of characterization procedures, or to verify personnel and equipment were available to continue characterization activities. The results of this audit have confirmed that CCP operations at the Hanford Site continue to be in a state of suspension. For this reason, the adequacy, implementation, and effectiveness of all aspects of the Hanford/CCP waste characterization activities continue to be indeterminate.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
RL	A-15-19	06/23 – 06/25/15	Evaluated the continued adequacy, implementation, and effectiveness of the Hanford/CCP TRU waste characterization activities for SCG S3000 homogeneous solids and S5000 debris waste to verify compliance with the applicable requirements of the Permit, the CBFO QAPD, and other requirement documents. Hanford/CCP waste characterization activities have been suspended, and no characterization activities have occurred since Audit A-14-16, conducted on May 20-21, 2014.	I	I	I
				Since Hanford/CCP suspended waste characterization activities at the Hanford Site, the audit team was unable to evaluate HSG sampling, RTR, VE, and NDA characterization activities in the field to determine the implementation and effectiveness of characterization procedures, or to verify personnel and equipment were available to continue characterization activities. The results of this audit have confirmed that CCP operations at the Hanford Site continue to be in a state of suspension. For this reason, the adequacy, implementation, and effectiveness of all aspects of the Hanford/CCP waste characterization activities continue to be indeterminate.		
RL	A-16-11	05/31 – 06/01/16	Evaluated the continued adequacy, implementation, and effectiveness of the Hanford/CCP TRU waste characterization activities for SCG S3000 homogeneous solids and S5000 debris waste to verify compliance with the applicable requirements of the Permit, the CBFO QAPD, and other requirement documents. Hanford/CCP waste characterization activities have been suspended, and no characterization activities have occurred since Audit A-15-19, conducted on June 23-26, 2015.	I	I	I
				Since Hanford/CCP suspended waste characterization activities at the Hanford Site, the audit team was unable to evaluate HSG sampling, RTR, VE, and NDA characterization activities in the field to determine the implementation and effectiveness of characterization procedures, or to verify personnel and equipment were available to continue characterization activities. The results of this audit have confirmed that CCP operations at the Hanford Site continue to be in a state of suspension. For this reason, the adequacy, implementation, and effectiveness of all aspects of the Hanford/CCP waste characterization activities continue to be indeterminate.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
RL	A-17-20	04/26 – 04/27/17	Evaluated the continued adequacy, implementation, and effectiveness of the Hanford/CCP TRU waste characterization activities for SCG S3000 homogeneous solids and S5000 debris waste to verify compliance with the applicable requirements of the Permit, the CBFO QAPD, and other requirement documents. Hanford/CCP waste characterization activities have been suspended, and no characterization activities have occurred since Audit A-16-11, conducted on May 31- June 01, 2016.	I	I	I
				<p>Since Hanford/CCP suspended waste characterization activities at the Hanford Site, the audit team was unable to evaluate HSG sampling, RTR, VE, and NDA characterization activities in the field to determine the implementation and effectiveness of characterization procedures, or to verify personnel and equipment were available to continue characterization activities. The results of this audit have confirmed that CCP operations at the Hanford Site continue to be in a state of suspension. For this reason, the adequacy, implementation, and effectiveness of all aspects of the Hanford/CCP waste characterization activities continue to be indeterminate.</p>		

**Table AUD-5. Nuclear Waste Partnership Assessments**

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-13-06	03/12 – 03/14/13	Evaluated the adequacy, implementation, and effectiveness of NWP plans and procedures related to QA and technical activities for the Waste-handling Operations Program of TRU waste at the WIPP.	S	S	S
				The audit team concluded that overall, the NWP Waste-handling Operations Program continues to adequately address applicable upper-tier requirements and remains satisfactorily implemented and effective. One CAQ resulting in the issuance of CAR 13-014 was identified during the audit.		
NWP	A-13-11	04/16 – 04/18/13	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.	S	S	S
				The audit team concluded that the NWP/CCP QA program continues to adequately address applicable upper-tier requirements and remains satisfactorily implemented and effective. Three CAQs were identified during the audit resulting in the issuance of CARs 13-024, 13-025, and 13-026.		
NWP	A-13-14	04/30 – 05/02/13	Evaluated the adequacy, implementation, and effectiveness of the NWP QA program related to NQA-1-1989 Criteria 1 through 9 of the American Society of Mechanical Engineers (ASME) NQA-1-1989 Edition, <i>Quality Assurance Program Requirements for Nuclear Facilities</i> (NQA-1-1989), and the corresponding sections of the CBFO QAPD.	S	S	S
				The audit team concluded that overall, the NWP QA program, as related to Criteria 1 through 9 of the NQA-1-1989, was adequately established for compliance with upper-tier requirements, satisfactory in the implementation of those requirements, and effective in achieving the desired results. One CAQ resulting in the issuance of CAR 13-031 was identified during the audit.		
NWP	A-13-16	04/09 – 04/11/13	Evaluated the adequacy, implementation, and effectiveness of the NWP Dosimetry and Radiological Control (RADCON) Programs and related procedures.	S	S	S
				The audit team concluded that overall the NWP programs reviewed adequately address upper-tier requirements, are satisfactorily implemented, and are effective in achieving the desired results. Two CAQs were identified during the audit necessitating the issuance of CARs 13-027 and 13-028.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-13-21	07/09 – 07/11/13	Evaluated the adequacy, implementation, and effectiveness of the CCP in conducting DOE intersite shipments of CH-TRU waste.	S	S	S
				The audit team concluded that the CCP intersite transportation activities evaluated were adequate, satisfactorily implemented, and effective. One CAQ was identified during the audit resulting in the issuance of CAR 13-047.		
NWP	A-14-05	12/03 – 12/05/13	Evaluated the adequacy, implementation, and effectiveness of transportation activities performed by the CCP at LANL, SRS, INL, and Argonne National Laboratory-East.	S	S	S
				The audit team concluded that the CCP transportation activities were adequate, satisfactorily implemented, and effective. One CAQ was identified during the audit resulting in the issuance of CAR 14-007.		
NWP	A-14-06	11/05 – 11/07/13	Evaluated the continued adequacy, implementation, and effectiveness of the NWP Volatile Organic Compound (VOC)/Hydrogen/Methane Monitoring Program and applicable elements of the NWP QA program.	S	S	S
				The audit team concluded that the NWP VOC/Hydrogen/Methane Monitoring Program and implementing procedures, including the applicable QA program elements, are adequate in addressing upper-tier requirements. The audit team also concluded that the NWP procedures evaluated are satisfactorily implemented and effective in achieving the desired results.		
NWP	A-14-07	01/28 – 01/30/14	Evaluated continued adequacy, implementation, and effectiveness of NWP QA and technical activities related to calibration of measuring and test equipment (M&TE), as defined in NQA-1-1989 Criterion 12 and mandatory supplement 12S-1.	S	S	S
				The audit team concluded that, overall, the NWP Calibration Program continues to adequately address applicable upper-tier requirements and remains satisfactorily implemented and effective. One CAQ was identified during the audit necessitating the issuance of CAR 14-014.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-14-09	02/04 – 02/19/14	Evaluated the implementation and effectiveness of the NWP Issues Management Processing System, specifically the corrective actions associated with recent transportation-related issues.	S	S	S
				<p>The audit team concluded that, overall, the NWP Issues Management Processing System activities associated with the corrective actions taken for recent transportation-related issues are satisfactorily implemented and effective in achieving the desired results.</p> <p>Two CAQs were identified during the audit necessitating the issuance of CARs 14-021 and 14-022.</p>		
NWP	A-14-10	03/25 – 03/27/14	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.	S	S	S
				<p>The audit team concluded that the NWP/CCP QA program continues to adequately address applicable upper-tier requirements and remains satisfactorily implemented and effective. Seven CAQs were identified during the audit resulting in the issuance of CARs 14-030 to 14-036. The number and nature of the CARs identified were individually and collectively evaluated and determined not to negatively affect the overall adequacy of the implementation of the NWP/CCP QA Program.</p>		
NWP	A-15-03	10/21 – 10/23/14	Evaluated the continued adequacy, implementation, and effectiveness of the NWP Monitoring Programs and applicable elements of the NWP QA program related to implementation of program procedures and monitoring program activities.	S	S	S
				<p>The audit team concluded that the NWP Monitoring Programs and implementing procedures evaluated, including the applicable QA program elements, are adequate in addressing upper-tier requirements. The audit team also concluded that the NWP procedures evaluated are satisfactorily implemented and effective in achieving the desired results for an environmental monitoring program.</p>		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-15-04	06/23 – 06/25/15	Evaluated the adequacy, implementation, and effectiveness of QA and technical activities related to the Records Management Program at the WIPP Records Archive building and performed by contractors to NWP, Technical and Field Engineering and a sub-contractor (Iron Mountain).	S	M	M
				The audit team concluded that although the NWP Records Management Program is satisfactorily established for compliance with applicable upper-tier requirements, the number and nature of the concerns identified suggest that the degree of implementation is marginally acceptable. Six CAQs were identified during the audit which resulted in the issuance of six CARs (15-052 to 15-057).		
NWP	A-15-05	01/27 – 01/29/15	Evaluated the continued adequacy, implementation, and effectiveness of the NWP/Regulatory and Environmental Services (RES) Waste Confirmation Program and applicable elements of the NWP QA program related to implementation of program procedures and program activities.	S	S	S
				The audit team concluded that the NWP/RES Waste Confirmation Program and implementing procedures evaluated, including the applicable QA program elements, adequately address upper-tier requirements. The audit team also concluded that the NWP procedures evaluated are satisfactorily implemented and effective in achieving the desired results.		
NWP	A-15-07	01/20 – 01/22/15	Evaluated the adequacy, implementation, and effectiveness of transportation activities performed under the CCP at LANL, INL, and SRS.	S	S	S
				The audit team concluded that the CCP transportation activities were adequate, satisfactorily implemented, and effective.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-15-10	11/18 – 11/20/14	Evaluated the adequacy, implementation, and effectiveness of activities associated with NWP Procurement (Supporting Recovery Activities). This Phase I audit was performed primarily to evaluate the adequacy of the flow-down of requirements from the DOE Acquisition Regulations, Federal Acquisition Regulations, applicable Code of Federal Regulations (CFR), and applicable DOE Orders. The audit team determined that the requirements of these upper-tier documents were only applicable to NWP as passed on through the CBFO contract. Phase II will consist of a series of surveillances and/or audits to further evaluate implementation and effectiveness.	S	S	S
				<p>The audit team concluded that the NWP QAPD is adequate relative to the flow-down of requirements of the NQA-1-1989 and upper-tier procurement documents. The associated NWP implementing procedures are also adequate relative to the flow-down of requirements from the NWP QAPD. The audit team concluded that, overall, the NWP processes evaluated are satisfactorily implemented and effective in achieving the desired results for those areas examined.</p> <p>Two CAQs were identified during the audit necessitating the issuance of CARs 15-014 and 15-015.</p>		
NWP	A-15-12	04/07 – 04/09/15	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	S	S	S
				<p>The audit team determined that the NWP/CCP QA program continues to adequately address the applicable upper-tier requirements and remains satisfactorily implemented and effective.</p> <p>Four CAQs were identified during the audit necessitating the issuance of CARs 15-034, 15-035, 15-036, and 15-037.</p>		
NWP	A-15-14	03/24 – 03/26/15	Evaluated the degree of adequacy, implementation, and effectiveness of the policies, plans, and procedures related to the NWP/Centralized Procurement Program (CPP) established to allow user sites to procure items manufactured to standardized NWP quality, procurement, and technical requirements.	S	S	S
				<p>The results of the audit indicate that the NWP/CPP remains adequately established for compliance with upper-tier requirements, satisfactory in the implementation of these requirements, and effective in achieving the desired results.</p>		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-15-15	04/20 – 04/23/15	<p>Evaluated the adequacy, implementation, and effectiveness of NWP RADCON instruments, implementing procedures, training, and records; External Emergency Response instrumentation and calibration; and WIPP Laboratories sample receipt, instrument calibration, training, analysis, and reporting. The following areas were evaluated:</p> <ul style="list-style-type: none"> <li>• Radiological Control Instrumentation and Calibration</li> <li>• Source Control</li> <li>• Radiological Control and Analysis Training</li> <li>• WIPP Laboratories RADCON Sample Instrumental Analysis and Reporting</li> <li>• Software Quality Assurance (SQA)</li> </ul>	S	S	S
				<p>The audit team determined that the elements of the NWP RADCON Program reviewed adequately address upper-tier requirements, are satisfactorily implemented, and are effective in achieving the desired results.</p> <p>Five CAQs were identified during the audit necessitating the issuance of CARs 15-039, 15-040, 15-041, 15-042 and 15-043.</p>		
NWP	A-15-16	04/21 – 04/23/15	<p>Evaluated the adequacy and implementation of the NWP QA program with respect to Type B packaging to be used at the WIPP, and evaluation and verification of the implementation and effectiveness of NWP implementing procedures. The following elements were evaluated:</p> <ul style="list-style-type: none"> <li>• Document Control (Type B Drawings)</li> <li>• Design Control</li> <li>• Test Control</li> <li>• Quality Lists and Category Assessments</li> <li>• Supplier Evaluation/Qualification</li> <li>• Packaging Maintenance, Oversight, and Reporting</li> <li>• Fabrication Oversight</li> </ul>	S	S	S
				<p>The audit team concluded that the NWP QA program with respect to Type B packaging to be used at the WIPP continues to adequately address applicable upper-tier requirements and remains satisfactorily implemented and effective.</p>		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-16-04	11/17 – 11/19/15	<p>Evaluated the continued adequacy, implementation, and effectiveness of selected monitoring processes as they relate to the NWP QA program. The following criteria were evaluated:</p> <ul style="list-style-type: none"> <li>• Quality Assurance Program: Organization, QA program, Training, Document Control, Records</li> <li>• Volatile Organic Compound/Hydrogen/Methane Monitoring</li> <li>• Delaware Basin Monitoring</li> <li>• New Mexico Environment Department Groundwater Discharge Permit DP-831</li> <li>• Groundwater Monitoring</li> <li>• Biota/Land Management Monitoring</li> </ul>	S	S	S
				<p>The audit team concluded that the NWP Monitoring Programs and implementing procedures evaluated, including the applicable QA program elements, are adequate in addressing upper-tier requirements. The audit team also concluded that the NWP procedures evaluated are satisfactorily implemented and effective in achieving the desired results for an environmental monitoring program.</p>		
NWP	A-16-06	02/02 – 02/04/16	<p>Evaluated NWP calibration activities at the WIPP site for equipment used and/or installed for waste handling, radiation monitoring, environmental monitoring, and plant maintenance, as defined in NQA-1-1989 Criterion 12 and mandatory supplement 12S-1.</p>	S	S	S
				<p>The audit team concluded that, overall, the NWP Calibration Program continues to adequately address applicable upper-tier requirements and remains satisfactorily implemented and effective.</p> <p>Three CAQs were identified during the audit necessitating the issuance of CARs 16-022, 16-023, and 16-025.</p>		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-16-09	05/10 – 05/12/16	<p>Evaluated the adequacy, implementation, and effectiveness of NWP Contractor Assurance System activities at the WIPP site for compliance to DOE Order 226.1B, <i>Implementation of Department of Energy Oversight Policy</i>. Evaluation of NWP Contractor Assurance System procedures for adequacy was based on requirements of the CBFO QAPD.</p> <p>The NWP Contractor Assurance System program activities evaluated were:</p> <ul style="list-style-type: none"> <li>• Plan and Organization</li> <li>• Independent Assessments</li> <li>• Self-Assessments</li> <li>• Management Observations</li> <li>• Performance Monitoring and Reporting</li> <li>• Change Management</li> <li>• Safety Basis Improvement Verification</li> <li>• Fact Finding and Critiques</li> <li>• Root Cause Analysis</li> <li>• Issues Management</li> </ul>	S	S	S
				<p>The audit team concluded that, overall, the NWP Contractor Assurance System program adequately addresses applicable upper-tier requirements and is satisfactorily implemented and effective.</p> <p>Three CAQs were identified during the audit necessitating the issuance of CARs 16-039, 16-040 and 16-041.</p>		
NWP	A-16-12	03/29 – 03/31/16	<p>Evaluated the sustained adequacy, implementation, and effectiveness of the NWP/CCP QA program plans, procedures, and resulting documents and records demonstrating the performance of quality-affecting activities associated with the characterization and certification of TRU waste.</p>	S	S	S
				<p>The audit team concluded that the NWP/CCP QA program continues to adequately address applicable upper-tier requirements and remains satisfactorily implemented and effective.</p> <p>Two CAQs were identified during the audit necessitating the issuance of CARs 16-030 and 16-031.</p>		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-16-13	07/19 – 07/21/16	Evaluated NWP compliance with the current Graded Approach program, the CBFO-approved contractor Procurement program, and all applicable governing documents.	S	S	S
				The audit team concluded that, overall, the NWP Procurement and Graded Approach programs are adequately established for compliance with upper-tier requirements, satisfactory in the implementation of these requirements, and effective in achieving the desired results. Six CAQs were identified during the audit necessitating the issuance of CARs 16-052, 16-053, 16-054, 16-055, 16-056 and 16-057. As of January 8, 2018, CAR 16-057 is still open; therefore, it will be discussed in the next CRA.		
NWP	A-16-16	04/26 – 04/28/16	Evaluated the adequacy, implementation, and effectiveness of the NWP RADCON Program. The following areas were evaluated: <ul style="list-style-type: none"> <li>• Radiological Control Instrumentation and Calibration</li> <li>• Source Control</li> <li>• Radiological Control and Analysis</li> <li>• Training</li> <li>• WIPP Laboratories RADCON Sample Instrumental Analysis and Reporting</li> <li>• SQA</li> <li>• Quality Assurance Program</li> </ul>	S	S	S
				The audit team determined that the elements of the NWP RADCON Program reviewed adequately address upper-tier requirements, are satisfactorily implemented, and are effective in achieving the desired results. Three CAQs were identified during the audit necessitating the issuance of CARs 16-036, 16-037, and 16-038.		
NWP	A-17-05	01/24 – 01/26/17	Evaluated the adequacy, implementation, and effectiveness of the WIPP Industrial Safety Air Quality Monitoring Program in accordance with requirements of the CBFO QAPD. Other areas of particular focus included methods for monitoring and testing air in the WIPP underground in accordance with the Mine Safety and Health Administration and the Permit requirements for functional check of air quality instrumentation.	S	S	S
				The audit team concluded that the NWP Industrial Safety Air Quality Monitoring Program adequately addresses the applicable upper-tier requirements, is satisfactorily implemented, and is effective. Four CAQs were identified during the audit necessitating the issuance of CARs 17-012, 17-013, 17-014, and 17-015. As of January 8, 2018, CAR 17-012 is still open; therefore, it will be discussed in the next CRA.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-17-11	07/11 – 07/13/17	Evaluated the adequacy, implementation, and effectiveness of QA and technical activities related to waste handling operations at the WIPP. The activities were evaluated with respect to CBFO and NWP QA requirements. Remote-handled waste was not evaluated during this audit.	S	S	S
				The audit team concluded that overall, the NWP Waste Handling Operations Program continues to adequately address applicable upper-tier requirements and remains satisfactorily implemented and effective. One CAQ was identified during the audit necessitating the issuance of CAR 17-041.		
NWP	A-17-13	03/28 – 03/30/17	Evaluated the sustained adequacy, implementation, and effectiveness of the NWP/CCP Quality Assurance Program established for controlling quality-affecting activities associated with CCP characterization and certification of TRU waste destined for disposal at the WIPP.	S	S	S
				The audit team concluded that the NWP/CCP Quality Assurance Program continues to adequately address applicable upper-tier requirements and remains satisfactorily implemented and effective.		
NWP	A-17-15	02/07 – 02/09/17	Evaluated NWP calibration activities at the WIPP site for equipment used and/or installed for waste handling, radiation monitoring, environmental monitoring, and plant maintenance. Calibration of equipment used by CCP is separate from the WIPP site M&TE Program and was evaluated at the Skeen-Whitlock Building. Evaluation of CCP calibration procedures for adequacy was based on the CBFO QAPD. The five calibration program areas identified in WP 10-WC.03, Rev. 1, <i>NWP Equipment Calibration Program</i> , and individually evaluated were: <ul style="list-style-type: none"> <li>• RADCON</li> <li>• Environmental Monitoring</li> <li>• Maintenance</li> <li>• NWP Site Metrology (M&amp;TE and Monitoring and Data Collection)</li> <li>• CCP Metrology</li> </ul>	S	S	S
				The audit team concluded that, overall, the NWP Calibration Program continues to adequately address applicable upper-tier requirements and remains satisfactorily implemented and effective. Three CAQs were identified during the audit necessitating the issuance of CARs 17-021, 17-022, and 17-023.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	A-17-19	07/25 – 07/27/17	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, <i>Quality Assurance Program Description</i> . This included verifying implementation of the contractor’s approved procurement system based on appraisal criteria established by the CBFO, as well as the implementation of a graded approach to determine Management Levels for the application of purchase order requirements.	S	S	S
				Overall, the audit team concluded that the Graded Approach process is adequately established for compliance with upper-tier requirements, satisfactory in the implementation of these requirements, and effective in achieving the desired results. Two CAQs were identified during the audit necessitating the issuance of CARs 17-042 and 17-043.		
NWP	A-17-32	02/07 – 02/09/17	Evaluated the sustained adequacy, implementation, and effectiveness of the NWP QA program established for controlling quality-affecting activities associated with material control, receiving, and stores inventory.	S	S	S
				The audit team concluded that the CBFO QAPD implementation continues to adequately address applicable upper-tier requirements and remains satisfactorily implemented and effective. Five CAQs were identified during the audit necessitating the issuance of CARs 17-017, 17-018, 17-019, 17-020, and 17-027.		
NWP	S-13-09	07/16 – 07/18/13	Evaluated the implementation of requirements for confined space, hearing conservation, and fall prevention activities in both surface and underground operations at the WIPP.	S	S	S
				The surveillance team verified the NWP WIPP Confined Spaces, Hearing Conservation, and Fall Prevention Programs are adequate, satisfactorily implemented, and effective. Two CAQs were identified during the surveillance resulting in the issuance of CARs 13-049 and 13-050.		
NWP	S-13-10	02/05 – 02/07/13	Evaluated the adequacy and implementation of the NWP QA program with respect to the Ground Control Program at the WIPP.	S	S	S
				The surveillance team verified the NWP Ground Control Program is adequate, satisfactorily implemented, and effective.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-13-22	03/18/13	The scope of the surveillance included interviews with responsible personnel within the CCP organization and examination of documents and resulting records for the CCP Corrective Action Management Program.	S	S	S
				The surveillance team concluded that the CCP Corrective Action Management Program as described in CCP-QP-029 adequately addresses the associated requirements of the CBFO QAPD, is effectively implemented, and is satisfactory in achieving the desired results.		
NWP	S-13-27	08/20 – 08/22/13	Evaluated the adequacy, implementation, and effectiveness of the NWP QA program with respect to the Seismic Monitoring and Subsidence Survey Data Acquisition processes at the WIPP.	S	S	S
				The surveillance team determined that, overall, NWP Seismic Monitoring Program for Underground and Surface activities were adequate, satisfactorily implemented, and effective.		
NWP	S-13-33	09/16/13	Evaluated the adequacy, implementation, and effectiveness of replacing the CCP corrective action management process defined in CCP-QP-029, <i>CCP Corrective Action Management</i> , with the existing NWP issues management processing system utilizing the WIPP Form process defined in WP 15-GM1002, <i>Issues Management Processing of WIPP Forms</i> .	S	S	S
				The surveillance team deemed that the proposed WIPP Form processing of CAQs per WP 15-GM1002, <i>Issues Management Processing of WIPP Forms</i> , is adequately established for compliance with upper-tier requirements, satisfactory in the implementation of those requirements, and effective in achieving the desired results.		
NWP	S-14-01	10/15 – 10/17/13	Evaluated the adequacy, implementation, and effectiveness of SQA controls applied by NWP to the maintenance of the WDS, a web-based software application that incorporates elements of the WIPP WWIS software application.  Surveillance S-14-01 also evaluated continued implementation of corrective actions for CARs 11-004 and 11-005, generated during S-11-01 (October 19 – 21, 2010). Surveillance S-11-01 was the last evaluation that addressed SQA activities performed by NWP with respect to WWIS/WDS development.	S	S	S
				The surveillance team determined that NWP SQA procedures are adequate and that implementation of these procedures is satisfactory and provides for an effective application of SQA to maintenance, control, and use of the WWIS/WDS.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-14-02	11/22 – 11/23/13	Evaluated transportation activities associated with WIPP-generated Resource Conservation and Recovery Act (RCRA) hazardous waste, and evaluated the effectiveness of implementing procedures.	S	S	S
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective. Two CAQs were identified during the surveillance resulting in the issuance of CARs 14-003 and 14-004.		
NWP	S-14-03	11/04 – 11/05/13	Evaluated the TRANSportation Tracking and COMMunication (TRANSCOM) operations performed by NWP for the WIPP, and evaluated the effectiveness of implementing procedures.	S	S	S
				The surveillance team verified that records were adequately documented, and personnel were trained appropriately. The surveillance team determined that the NWP TRANSCOM operations are adequate, satisfactorily implemented, and effective. One CAQ was identified during the surveillance necessitating the issuance CAR 14-005.		
NWP	S-14-06	10/15 – 10/16/13	Evaluated the degree of effective implementation of selected requirements in the NWP Fire Protection and Emergency Management Program documents and implementing procedures.	S	S	S
				The surveillance team determined that, with the exception of two deficiencies, the requirements in the NWP Fire Protection and Emergency Management Programs were satisfactorily implemented. Two CAQs were identified during the surveillance necessitating the issuance of CARs 14-001 and 14-002.		
NWP	S-14-09	01/21 – 01/24/14	Evaluated the NWP response to the Procurement Evaluation and Re-Engineering Team (PERT) Review Final Report findings as requested by the CBFO Contracting Officer in DOE Memorandum CBFO:OOB:VDS:HL:13-1067:UFC4250.00, Ms. Vicki Diane Snow to Ms. Marty Gonzales, dated March 6, 2013, and the response submitted from NWP to CBFO by letter CO:13:02638:UFC:1000.00 from Ms. M.P. Gonzales to Ms. V.D. Snow, dated April 5, 2013.	S	S	I
				The surveillance team has determined that six of the nine PERT-identified weaknesses have been adequately addressed. These are items 1, 2, 5, 6, 7 and 9. However, NWP's responses to items 3, 4 and 8 were determined to be inadequate or incomplete as no objective evidence of implementation was provided during the surveillance. The surveillance also determined that NWP has addressed only one of six CBFO-selected PERT observations on "acceptable" DEAR 970.4402-2 Guiding principles, as identified in the March 6, 2013, letter.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-14-13	06/24 – 06/25/14	Evaluated the implementation and effectiveness of the NWP policies, plans, and procedures related to the Suspect/Counterfeit Items (S/CI) Program implemented at the WIPP.	S	S	S
				The results of the surveillance determined that the NWP S/CI Program at the WIPP is adequate, satisfactorily implemented, and effective. One CAQ was identified during the surveillance necessitating the issuance of CAR 14-051.		
NWP	S-14-15	08/12 – 08/13/14	Evaluated the implementation and effectiveness of the NWP policies, plans, and procedures related to the NWP Commercial Grade Item Dedication (CGID) Program implemented at the WIPP.	S	S	S
				Although no new CGIDs were available for processing during the surveillance, there is an established process to complete this activity. The results of the surveillance determined that the NWP CGID Program at the WIPP is adequate, satisfactorily implemented, and effective. The surveillance team was unable to verify sustained corrective actions for CARs 11-048 and 11-049 (issued from Surveillance S-11-24) because no new CGID Forms had been generated since the time of issuance of the CARs.		
NWP	S-14-16	08/12 – 08/14/14	Evaluated the adequacy, implementation, and effectiveness of the NWP QA program and applicable NWP implementing procedures 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.	S	S	S
				The surveillance team verified that NWP procedures adequately address upper-tier requirements and provide adequate guidance and work steps for performance of NESHAP monitoring activities. One CAQ was identified during the surveillance resulting in the issuance of CAR 14-058.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-14-18	03/11 – 03/27/14	Evaluated the implementation and effectiveness of the policies, plans, and procedures related to NWP processes for procurement of services from WCS in support of the WIPP recovery activities. The surveillance included interviews with responsible personnel within the NWP organization, observation of processes, observance of NWP Audit E14-02 performed at the WCS facility, and examination of documents and resulting records for the procurement of services from WCS, including the addition of the facility to the NWP Qualified Supplier List (QSL).	S	S	S
				Overall, the surveillance team determined that WCS met the applicable QAPD requirements to be added to the NWP QSL. The results of the surveillance indicate that NWP's implementation of the procurement process to add WCS to NWP's QSL was satisfactory. Three CAQs were identified during the surveillance resulting in the issuance of CARs 14-027, 14-028, and 14-029.		
NWP	S-14-26	04/08/14	Evaluated the adequacy, implementation, and effectiveness of the WCS/CCP activities that direct CH-TRU waste receipt, TRUPACT-II unloading and maintenance, storage of waste containers at WCS, and shipment of empty TRUPACT-IIs from WCS.	S	S	S
				The surveillance team determined that the processes for unloading and storage of TRU waste are adequate, satisfactorily implemented, and effective.		
NWP	S-14-30	03/25 – 03/27/14	Evaluated the degree of implementation of requirements of the NWP TRUPACT-III processing and empty shipment activities performed in support of the shipping container venting requirements.	S	S	S
				The surveillance team determined that the documentation reviewed and the activities observed associated with the requirements in the NWP TRUPACT-III Processing and Empty Shipment procedure and the Safety Basis Supplement were satisfactorily implemented and effective.		
NWP	S-14-32	04/10/14	Evaluated the associated documentation and receipt inspection of 34 high-efficiency particulate air filters to be used for the exhaust filter building change-out activity at the WIPP.	S	S	S
				The surveillance team determined that the activities associated with the procurement, testing documentation, and receipt inspections were satisfactorily implemented.		
NWP	S-14-34	03/20 – 05/06/14	Evaluated air monitoring activities associated with WIPP-NWP Station B Continuous Air Monitor and evaluated the effectiveness of work control document 1402142M implementing process.	S	S	S
				Overall, the surveillance team determined that the work control document requirements and associated activities for the installation of Station B Continuous Air Monitor were satisfactorily implemented.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-14-35	05/13/14	Evaluated the adequacy, implementation, and effectiveness of Questa Fertilizer, Inc., activities conducted at the Questa facility in Loving, NM, to receive magnesium oxide, fill super sacks with the magnesium oxide, and deliver the filled super sacks to the WIPP. The surveillance also evaluated the effectiveness of associated implementing procedures.	S	S	S
				The surveillance team determined that the evaluated activities are adequate, effective, and satisfactory for compliance with applicable upper-tier requirements and the Questa contract Statement of Work. One CAQ was identified during the surveillance resulting in the issuance of CAR 14-040.		
NWP	S-14-36	05/14/14	Evaluated receipt inspection activities associated with WIPP-acceptance of the 860 fan make-up inlet bell to support the high-efficiency particulate air filter replacement and to evaluate the effectiveness of the inspection.	S	S	S
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective.		
NWP	S-14-37	03/26 – 04/22/14	Evaluated purchasing activities associated with documentation, installation, and operational implementation of the Canberra Sirius-5AB Cuff, Hand and Foot Monitors.	S	S	S
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective.		
NWP	S-14-38	04/30/14	Evaluated procurement activities associated with NWP QSL approval of Universal Research Services Corporation (URS) for a two phase design and build process as a sole source supplier.	S	S	S
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective.		
NWP	S-14-40	05/29/14	Evaluated the performance of work associated with the characterization, decontamination, and fixing of contamination inside the 860A duct and fan.	S	S	S
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective.		
NWP	S-14-41	06/09 – 06/12/14	Evaluated transportation activities associated with NWP replacing 41-B-856/857 Moderate/High Efficiency Filters.	S	S	S
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective.		
NWP	S-14-43	06/08 – 06/09/14	Evaluated the performance of work associated with In-Situ Object Counting System measurements of a Mod Filter Sample and a SWB containing radioactive waste from pervious underground entries at the WIPP.	S	S	S
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-14-45	09/15 – 09/25/14	Evaluated mock-up activities associated with the NWP work performance with assembly, operation, and disassembly of the REACH equipment, including use of personal protective equipment associated with work in a high contamination area.	S	S	S
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective. One CAQ was identified during the surveillance resulting in the issuance of CAR 15-001.		
NWP	S-15-01	10/14 – 10/16/14	Evaluated root cause analysis activities associated with the NWP root cause process of two separate events related to failures to properly install o-rings on TRUPACT shipping containers, and the results of the analyses, in an effort to determine effectiveness.	S	S	M
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, but marginally effective since the results indicate that written corrective action plans are incomplete. No surveillance has been performed to follow-up on the root cause process.		
NWP	S-15-03	10/14 – 10/16/14	Evaluated NWP compliance with DOE Order 420.1C, <i>Facility Safety</i> , Appendix 2, Chapter II, <i>Fire Protection</i> , and evaluated the effectiveness of plans and implementing procedures.	M	M	M
				The surveillance team determined that the NWP compliance with DOE Order 420.1C, Appendix 2, Chapter II, <i>Fire Protection</i> , is marginally adequate. The attention given to maintaining fire protection and life safety system is insufficient. Satisfactory disposition of the items identified by the surveillance team is required.  Three CAQs were identified during the surveillance resulting in the issuance of CARs 15-010, 15-031 and 15-032. Upon surveillance closure, the determination was made that the program was marginal. Closures of the CARs indicate the corrective actions have been completed. The effectiveness of the corrective actions will be evaluated in a future assessment.		

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NWP and CBFO	S-15-04	11/18 – 11/20/14	Evaluated the adequacy, implementation, and effectiveness of the coordination between the CBFO Records Management Program and procedures and the NWP Technical and Field Engineering Records Management Program and procedures. Implementation of NWP Technical and Field Engineering mail room and records management activities was evaluated with respect to QA and non-QA records received at the CBFO Mailroom and Records Center from CBFO offices and/or outside sources and subsequently distributed and/or transmitted to the records archive.	S	S	S
				The surveillance team determined that NWP Technical and Field Engineering procedures covering mail room operations are adequate and satisfactorily implemented. Procedure implementation results in an effective mail room correspondence and records management program.		
NWP	S-15-07	11/18/14	Evaluated the TRANSCOM operations performed by NWP for the WIPP, and evaluated the effectiveness of implementing procedures.	S	S	S
				The surveillance team determined that the NWP TRANSCOM operations are adequate, satisfactorily implemented, and effective. Two CAQs were identified during the surveillance resulting in the issuance of CARs 15-012 and 15-013.		
NWP	S-15-09	11/18 – 11/20/14	Evaluated NWP QA Internal Audit I15-01 at the ORNL TRU Waste Processing Center and the degree which the audit was performed in accordance with NWP QA program and procedure requirements.	S	S	S
				The surveillance team determined that the NWP QA Audit I15-01 was performed in compliance with established assessment procedures.		
NWP	S-15-13	10/15/14	Evaluated transportation activities associated with WIPP-performance of the calibration of the Waste Hoist Tower DP Loop.	S	S	S
				The surveillance team determined that the calibration of the Waste Hoist Tower DP Loop were performed satisfactorily and were within calibration tolerances.		
NWP	S-15-14	01/13 – 01/20/15	Verified the effective implementation of associated NWP program requirements governing material control and stores inventory at the WIPP site warehouse.	S	S	S
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective. Five CAQs were identified during the surveillance resulting in the issuance of CARs 15-023, 15-024, 15-025, 15-026 and 15-027.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-15-16	12/03 – 12/15/14	Evaluated the 2014 Annual Fire Door Inspection at the WIPP and resulting Fire Barrier Inspection Checklist.	S	S	S
				The surveillance team determined that the NWP processes are satisfactorily implemented.		
NWP	S-15-17	02/17 – 02/18/15; 03/02/15	Evaluated and verified the adequacy and implementation of the NWP Emergency Management Exercise (Drill) with respect to processes for reporting findings and observations issued by external agencies since the February 2014 events at the WIPP. Verified the implementation of the WIPP Form activities since the fire event and the effectiveness of applicable NWP plans and procedures.	S	S	S
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective.		
NWP	S-15-18	01/08/15	Evaluated the adequacy, implementation, and effectiveness of the NWP/CCP procedures and program for validating CH waste container characterization data, certification of waste containers by CCP Waste Certification Officials, and submittal of data to the WWIS/WDS database. The processes demonstrated during the surveillance included electronic validation of data using screen-displayed documents, electronic entry and modification of data, and electronic submittal of data to the WWIS/WDS.	S	S	S
				The surveillance team determined that the NWP procedures adequately addresses upper-tier requirements and provide adequate guidance and work steps for performance of CH waste certification activities.		
NWP	S-15-19	03/17/15	Evaluated the actions taken to date by NWP with respect to assessments of the WIPP by the DOE, Office of Enterprise Assessments. Findings identified in the June 23-27 and July 21-25, 2014 report and the June 10-12, August 12-13, and October 14-16, 2014 report were reviewed. Both reports were issued to Jose Franco, CBFO Manager, on December 22, 2014.	S	S	S
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-15-20	01/07 – 01/08/15	<p>Evaluated the performance and effectiveness of NWP’s project oversight of its Interim Ventilation Project (IVP) contractor, URS, in compliance with NWP WP 13-QA.53, Rev. 0, <i>Quality Assurance Oversight Plan (QAOP) For The Interim Ventilation System</i>. The surveillance team observed contract-required witness and observation holdpoints in IVP production activities.</p> <p>Flanders Filters, Inc., Washington, NC, was awarded the procurement package (PP) 1 subcontract by URS to construct the IVP filter housings. NWP/URS imposed mandatory contractor witness holdpoints at the commencement of welding, and welding inspection on the filter housings.</p>	S	S	S
NWP	S-15-21	01/13 – 01/14/15	<p>Evaluated the performance and effectiveness of NWP’s project oversight of its IVP contractor, URS, and its subcontractor, Flanders Filters, Inc., in compliance with NWP WP 13-QA.53, Rev. 0, <i>Quality Assurance Oversight Plan (QAOP) For The Interim Ventilation System</i>. The surveillance team observed contract-required witness and observation hold points in IVP production activities.</p> <p>Flanders Filters, Inc., Washington, NC, was awarded the PP 2 subcontract by URS to construct the IVP filter housings and fans. Flanders then subcontracted fabrication of the fans and fan housings to Twin City Fans, Brookings, SD. NWP/URS imposed mandatory contractor witness hold points during fabrication.</p>	S	S	S

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-15-22	01/27 – 01/29/15	Evaluated the performance and effectiveness of NWP’s project oversight of its IVP contractor, URS, and their subcontractor, Flanders Fan Inc., in compliance to NWP WP 13-QA.53, Rev. 0, <i>Quality Assurance Oversight Plan (QAOP) For The Interim Ventilation System</i> . The team attended and observed contract required witness and observation hold points in IVP production activities. The final testing and dimensional inspection of the fan housings was observed. NWP/URS imposed mandatory contractor witness hold points during fabrication.	S	S	S
				The NWP and URS trip reports document the activity of the teams adequately and properly. The issues identified in the reports appear to be adequately addressed as required by the QA program. There were no significant issues identified that might affect, or lead to, a non-compliant condition impacting final product integrity.		
NWP	S-15-23	01/06 – 01/29/15	Evaluated the performance of work associated with REACH equipment used to investigate and video panel 7, room 7 in the WIPP underground in support of the DOE Accident Investigation Board Forensic Team.	S	S	S
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective.		
NWP	S-15-24	02/06 – 02/12/15	Evaluated the performance and effectiveness of NWP’s project oversight of its IVP contractor, URS, and their subcontractor, Flanders Fan Inc., in compliance to NWP WP 13-QA.53, Rev. 0, <i>Quality Assurance Oversight Plan (QAOP) For The Interim Ventilation System</i> . The team attended and observed contract required witness and observation hold points in IVP production activities. The final testing and dimensional inspection of high-efficiency particulate air filters and the pressure testing of the filter housings was observed.  Flanders Filters Incorporated, Washington, NC, was awarded the PP 1 subcontract by URS to construct the IVP filter housings and mount them on skids. NWP/URS imposed mandatory contractor witness hold points during fabrication.	S	S	S
				The NWP and URS trip reports document the activity of the teams adequately and properly. The issues identified in the reports appear to be adequately addressed and if open are being resolved as required by the QA program. There were no significant issues identified that might result, or lead to, a non-compliant condition impacting final product integrity.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-15-25	02/23 – 03/03/15	<p>Evaluated the performance and effectiveness of NWP project oversight of its IVP contractor, URS, and URS subcontractor, Flanders Filters, Inc., in accordance with NWP implementing document WP 13-QA.53, Rev. 1, <i>Quality Assurance Oversight Plan For The Interim Ventilation System</i>. The contract-required witness and observation hold points in IVP production activities were observed, as well as the functional acceptance testing of the filter housings.</p> <p>Flanders Filters Inc., Washington, NC, was awarded the PP 1 subcontract by URS to construct IVP filter housings and mount them on skids. NWP/URS imposed mandatory contractor witness observation points and hold points during functional acceptance testing of the completed filter skids.</p>	S	S	S
				<p>The NWP and URS trip reports were found to correctly document the activities observed. The issues identified in the reports appear to be adequately addressed. Any open items noted are being resolved as required by the NWP QA program. No significant issues were identified that might result in or lead to a non-compliant condition impacting final product integrity.</p>		
NWP	S-15-26	07/29 – 07/31/15	<p>Evaluated the performance and effectiveness of NWP project oversight of its interim ventilation system (IVS) contractor AECOM (formerly URS), and AECOM subcontractor, Intermountain Electric (IE), in accordance with NWP implementing document WP 13-QA.53, Rev. 1, <i>Quality Assurance Oversight Plan for the Interim Ventilation System</i>. The contract-required in-process witness and observation hold points for IVS production activities were observed, as well as the application of the building base insulation.</p>	S	S	S
				<p>The NWP visual inspection subcontractor (Mistras) trip reports were found to correctly document the activities observed. The issues identified in the reports appear to be adequately addressed. Any open items noted are being resolved as required by the NWP QA program. No significant issues were identified that might result in or lead to a non-compliant condition impacting final product integrity.</p>		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-15-27	09/09/15	<p>Evaluated the performance and effectiveness of NWP project oversight of its IVS contractor AECOM, and AECOM subcontractor, IE, in accordance with NWP implementing document WP 13-QA.53, Rev. 1, <i>Quality Assurance Oversight Plan for the Interim Ventilation System</i>. The contract-required Functional Acceptance Testing (FAT) witness and observation hold points for IVS production activities were observed.</p> <p>The original contract required the installation of the IVS PP 5 components, but due to schedule conflicts the acceptance of the PP 5 components was removed from the scope of this FAT and will be performed prior to installation at the WIPP site.</p>	S	S	S
				<p>The NWP Inspection report was found to correctly document the activities observed. The issues identified in the reports appear to be adequately addressed. The open items noted are being resolved and tracked as required by the NWP QA program. No significant issues were identified that might result in or lead to a non-compliant condition impacting final product integrity.</p>		
NWP	S-15-28	03/23 – 03/26/15	<p>Evaluated the performance and effectiveness of NWP project oversight of its IVS contractor AECOM (URS) and AECOM subcontractor, SSM Industries, in accordance with NWP implementing document WP 13-QA.53, Rev. 1, <i>Quality Assurance Oversight Plan For The Interim Ventilation System</i>. The contract-required witness and observation hold points during IVS duct fabrication activities were observed.</p> <p>SSM Industries, located in Pittsburgh, PA, was awarded the PP 4 subcontract by AECOM to construct IVS ductwork, duct supports, and isolation dampers. NWP/URS imposed mandatory contractor witness observation points and hold points during fabrication.</p>	S	S	S
				<p>The NWP and AECOM trip reports are attached to the surveillance report and were found to correctly document the activities observed. The issues identified in the trip reports appear to be adequately addressed. All open action items are being resolved as required by the NWP QA program. No significant issues were identified that might result in or lead to a noncompliant condition impacting final product integrity.</p>		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-15-29	05/12 – 05/14/15	Evaluated the performance and effectiveness of NWP project oversight of its IVS contractor AECOM and AECOM subcontractor, SSM Industries, in accordance with NWP implementing document WP 13-QA.53, Rev. 2, <i>Quality Assurance Oversight Plan For The Interim Ventilation System</i> . The contract-required witness and observation hold points during IVS duct fabrication activities and testing activities were observed.	S	S	S
				The NWP trip reports are attached to this surveillance report and were found to correctly document the activities observed. The issues identified in the trip reports appear to be adequately addressed. All open action items are being resolved as required by the NWP QA program. No significant issues were identified that might result in or lead to a noncompliant condition impacting final product integrity.		
NWP	S-15-34	02/25/15	Evaluated documentation for the performance of work associated with the installation of a water mister in the E300/S700 drifts of the WIPP underground.	S	S	S
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective.		
NWP	S-15-36	03/03 – 03/04/15	Evaluated the performance of work associated with replacing the moderate-efficiency filters in the 41-B-856/857 Filter Banks.	S	S	S
				The surveillance team determined that the activities associated with the replacement of the high-efficiency filters in Filter Banks 856/857 were satisfactorily conducted and implemented in accordance with the work requirements.		
NWP	S-15-39	03/27/15	Evaluated the performance of work associated with replacing the high-efficiency filters in the 41-B-856/857 Filter Banks.	S	S	S
				The surveillance team determined that the activities associated with replacement of the high-efficiency filters in Filter Banks 856/857 were satisfactorily conducted and implemented in accordance with the work requirements.		
NWP	S-15-40	06/02 – 06/04/15	Evaluated the implementation and effectiveness of the NWP Hoisting Operations with respect to the requirements of the CBFO QA program. The surveillance team also evaluated and verified the implementation and effectiveness of applicable NWP implementing procedures.	S	S	S
				The surveillance team determined the activities associated with NWP Hoisting Operations at WIPP satisfied the requirements of the CBFO QA program and were implemented in accordance with NWP procedures.		

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NWP	S-15-44	05/14/15	Evaluated implementation and effectiveness of NWP CCP procedure CCP-TP-199, <i>CCP/WCS CH-TRU Waste Inventory Control</i> , for the control of CH-TRU waste containers temporarily stored at the WCS facility.	S	S	S
				The surveillance team determined that the activities associated with CH-TRU waste inventory control at WCS were satisfactorily conducted and implemented in accordance with CCP-PO-042, Rev. 1, <i>CCP/WCS Interface Document</i> , and CCP-TP-199, Rev. 2, <i>CCP/WCS CH-TRU Waste Inventory Control</i> .		
NWP	S-15-45	08/11 – 08/13/15	Evaluated the degree of adequacy and implementation of the NWP “WIPP Form CAP” process.	S	S	S
				The surveillance team determined that the applicable requirements for NWP’s WIPP Form CAP process are satisfactorily implemented and effective. One CAQ was identified during the surveillance resulting in the issuance of CAR 15-061.		
NWP	S-15-48	04/21 – 04/28/15	Evaluated the performance of work associated with installing the Panel 6 exhaust substantial barrier at the WIPP.	S	S	S
				The surveillance team determined that the activities associated with the installation of the Panel 6 exhaust substantial barrier were satisfactorily conducted and implemented in accordance with the work requirements.		
NWP	S-15-52	04/30/15 and 05/13/15	Evaluated the performance of work associated with roof bolting in the WIPP underground to requirements identified in approved work order packages.	S	S	S
				The surveillance team determined the activities associated with the underground roof bolting activities were satisfactorily conducted in accordance with requirements within the referenced approved work orders.		
NWP	S-15-53	05/06/15	Evaluated the installation and initial setup of two Canberra iCAMs at the Panel 6 closures.	S	S	S
				The surveillance team determined that the activities associated with the installation of the iCAMs at Panel 6 were satisfactorily conducted and implemented in accordance with the work requirements. In addition, the RADCON Technicians demonstrated adequate knowledge associated with the equipment and area radiological conditions.		

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NWP	S-15-54	03/03/15 – 04/16/15	Evaluated effective implementation of associated CBFO QA program requirements governing the acquisition of TRANSCOM services. The surveillance was initiated with the issuance of Issue Collection & Evaluation (ICE) System Issue #29, which noted that the TRANSCOM contract did not require a QA program.	S	S	S
				The surveillance team determined that during the solicitation process of both TRANSCOM contracts all procedural requirements of the Quality Level Determination process were followed; therefore, no conditions adverse to quality were identified.		
NWP	S-15-55	05/06 – 05/07/15	Evaluated the activities associated with the excavation of the fan/filter skid and electrical building foundation(s) for the IVS at the WIPP	S	S	S
				The surveillance team determined that the activities associated with the excavation of the fan/filter skid and electrical building foundation(s) for the IVS were satisfactorily implemented for compliance with associated governing documents.		
NWP	S-15-56	05/15/15	Evaluated the performance of work, particularly radiological controls, associated with replacing the moderate-efficiency filters in the 41-B-856 Filter Bank.	S	S	S
				The surveillance team determined that the activities associated with the replacement of the moderate-efficiency filters in Filter Bank 856 were satisfactorily conducted and implemented in accordance with work requirements.		
NWP	S-15-57	05/11 – 05/15/15	Evaluated the FAT(s) of the IVS temporary fire panel and temporary programmable logic controller panel hardware to be installed at the WIPP. The surveillance was conducted at the panel fabricator’s (Prime Controls LLC) facilities in Lewisville, Texas.	S	S	S
				The surveillance team determined that the activities associated with the IVS temporary fire panel / temporary programmable logic controller panel FAT(s) were satisfactorily completed in compliance with the referenced controlling documents. All tests resulted in the anticipated outcome and the hardware met the required specifications and performed as expected.		
NWP	S-15-58	05/18 – 05/20/15	Evaluated the activities associated with the installation of concrete forms and reinforcing steel for the IVS fan filter skid pad(s) at the WIPP.	S	S	S
				The surveillance team determined that the activities associated with the installation of concrete forms and reinforcing steel for the fan/filter skid pads for the IVS were satisfactorily implemented in compliance with associated governing documents and industry standard practices.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-15-59	05/27/15	Evaluated the performance of work associated with installation of the exhaust bulkhead in room 7, panel 7, in the WIPP underground to requirements identified in approved work order packages.	S	S	S
				The surveillance team determined that the activities associated with the panel 7, room 7 bulkhead installation were satisfactorily conducted in accordance with requirements within the referenced approved work orders.		
NWP	S-15-60	06/22/15 – 07/28/15	Evaluated the degree of effectiveness in the implementation of associated NWP program requirements relative to the IVS subcontract Purchase Order 503008.	S	M	M
				The surveillance team determined that the applicable requirements for the NWP Approval Request/Variance Request (AR/VR) program performed at the WIPP in relation to the sub-tier subcontractors submitting AR/VRs for approval under the IVS procurement Purchase Order 503008 are marginally implemented and marginally effective. Three CAQs were identified during the surveillance, resulting in the issuance of CARs 15-058, 15-059, and 15-060.		
NWP	S-15-61	06/03 – 06/04/15	Evaluated the performance of pre-job briefings at the WIPP.	S	S	S
				The surveillance team determined that the activities associated with the pre-job briefings were satisfactorily conducted in accordance with requirements within the referenced documents.		
NWP	S-15-63	07/01/15	Evaluated completion and acceptability of AR/VRs and associated documentation for Purchase Requisition/Purchase Order Number 504018, the supplemental ventilation system (SVS) S-90 Booster Fan to be installed at the WIPP. This verification was intended as a “prior to ship” verification.	S	S	S
				The surveillance team determined three AR/VRs required prior to shipment had not been completed (AR/VR Nos. 18, 19, and 21). The Technical Manager for the project indicated that he was aware of the three and was working to get them completed. Additionally, it was noted and discussed with the Technical Manager that a few of the AR/VR sign-offs indicated “Conditional Approval.” All of the conditional approvals also indicated that the subcontractor was to “proceed” with work. Surveillance/Verification results were promptly communicated to the Technical Manager and the CBFO QA Manager to support shipping schedules.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-15-64	06/29/15 – 07/01/15	<p>Evaluated the performance and effectiveness of NWP project oversight of its SVS contractor RJR Engineering P.C. (RJR), and RJR subcontractor, Clarage. The contract-required witness and observation hold points in SVS functional acceptance testing of the fan skid, document review, and loading of the items for transportation to the WIPP were observed.</p> <p>Clarage, located in Pulaski, TN, was awarded the subcontract by RJR. Clarage constructs and tests the SVS fan assemblies and mounts them on skids. NWP/RJR imposed mandatory contractor witness observation and hold points during FAT of the completed filter skids.</p>	S	S	S
				<p>The NWP trip report is attached to the surveillance report and was found to accurately document the activities observed. The issues identified in the report appear to be satisfactorily addressed. All items were adequately resolved prior to NWP releasing Clarage to ship the SVS fan skid and related hardware to the WIPP site, as required by the NWP QA program. No significant issues were identified that might result in or lead to a non-compliant condition impacting final product integrity.</p>		
NWP	S-15-65	06/15 – 06/19/15	<p>Evaluated the FAT of the two IVS temporary programmable logic controller panel software (Rockwell Studio 5000 V-24.11, Rockwell Factory Talk View Studio Release # 8.00.00 and Rockwell Panel View Release #7.0) used in the IVS temporary control system to be installed at the WIPP. The surveillance was conducted at the panel fabricator’s (Prime Controls LLC) facilities in Lewisville, Texas.</p>	S	S	S
				<p>The test plan developed by AECOM was exhaustive and demonstrated the proper functionality of the system under an extensive range of operating conditions and scenarios. The test resulted in 36 total deviations (each documented as required by the approved test plan). The majority of these deviations involved typographical errors in the test plan, many of which were repeated throughout the test plan and did not impact the effectiveness of the plan or the functionality of the control program, with only two of the 36 requiring minor (tagging) changes to the program. These deviations could have been avoided had AECOM and NWP performed proper pre-FAT testing of the approved FAT plan.</p> <p>There were no deficiencies found in the adequacy of the approved test plan, conducting of the test, or in the functionality of the programming/control of the IVS. The system functioned as expected under an array of system conditions and operating scenarios.</p>		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-15-66	08/03 – 08/15/15	Evaluated the performance and effectiveness of NWP project oversight of its IVS contractor AECOM, and AECOM subcontractor, SSM Industries, in accordance with NWP implementing document WP 13-QA.53, Rev. 1, <i>Quality Assurance Oversight Plan For The Interim Ventilation System</i> . The contract-required witness and observation hold points during IVS duct fabrication and rework activities were observed.	S	S	S
				The NWP trip report is attached to the surveillance report and was found to correctly document the activities observed. The issues identified in the trip report appear to be adequately addressed. All open action items are being resolved as required by the NWP QA program. Several significant issues were identified that might result in or lead to a noncompliant condition impacting final product integrity, depending on resolution.		
NWP	S-15-67	08/24 – 08/27/15	Evaluated the activities associated with the installation of the SVS fan at S90 in the underground at the WIPP.	S	S	S
				The surveillance team determined that the activities associated with the SVS fan installation at S90 were satisfactorily conducted in accordance with requirements within the referenced documents.		
NWP	S-15-68	09/15 – 09/17/15	Evaluated activities associated with the NWP Facility Operations Training Program at the WIPP.	S	S	S
				The surveillance team determined that the activities associated with the NWP Facility Operations Training Program were satisfactorily conducted in accordance with requirements within the referenced documents.		
NWP	S-15-70	07/17/15	Evaluated the IVS Civil Construction Final Walkthrough prior to formal turnover of the constructed facility (concrete pads for the IVS fan/filter skids, electrical building, transformer pads and duct/cable tray supports, as well as underground electrical conduit installation and electrical grounding/bonding activities). The surveillance took place at the IVS construction area at the WIPP.	S	S	S
				The surveillance team determined that the final walkthrough required by section 17.3 of WP09-DC.O1, Rev. 11, <i>Construction Management Program</i> , was adequate and satisfied all requirements prior to formal turnover of the IVS Civil Work Package. No concerns were identified which would prevent formal turnover of the civil work performed.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-15-71	07/22/15	<p>Evaluated the radiological controls group break-out session for inclusion of management expectations and group participation.</p> <p>The break-out session was led by the RADCON Manager, with additional input from a Safety Department representative. Between the two speakers, all five of the recent events were discussed with the group as requested by NWP senior management. The five events included:</p> <ul style="list-style-type: none"> <li>•Two potentially contaminated sharps incidents</li> <li>•A worker performing work in the contaminated area without his assigned dosimeter</li> <li>•Lateness in reporting an incipient fire that occurred during hot work in the underground</li> <li>•Violation of hazardous controls implementation (entering a posted “Danger” area)</li> <li>• For each of the events, the speaker reviewed the fact-finding debrief with the group, related the event to the group’s mission and daily activities, and examined how the event causal factors related to a failure of adherence to the company’s core values and expectations.</li> </ul>	S	S	S
NWP	S-15-72	07/28 – 07/30/15	<p>Evaluated testing of inlet and outlet damper valves from the Flanders Corporation interim IVS filter/fan skid units.</p>	S	S	S
NWP	S-15-74	07/30/15 – 08/12/15	<p>Evaluated the activities associated with rolling back the transition line from E140/S1950 to E140/S2520 in the underground at the WIPP.</p>	S	S	S

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-15-75	08/24/15 – 10/01/15	<p>Evaluated the performance and effectiveness of NWP project oversight of its IVS contractor AECOM (formerly URS), and AECOM subcontractor, SSM Industries, in accordance with NWP implementing document WP 13-QA.53, Rev. 1, <i>Quality Assurance Oversight Plan for the Interim Ventilation System</i>. Due to significant workmanship discrepancies identified during the NWP receipt inspection of the first duct shipment delivered to the WIPP Site, AECOM was required to ship the duct back to SSM and perform additional rework to all duct pieces. Therefore, Surveillance S-15-75 covers repeated visits to SSM to oversee rework activities. This surveillance report covers oversight visits from August 27, 2015, to October 1, 2015, which are follow-on activities to those addressed in report S-15-66. The contract-required witness and observation hold points during IVS duct fabrication and rework activities were observed. SSM Industries, located in Pittsburgh, PA, was awarded the PP 4 subcontract to construct IVS ductwork, duct supports, and isolation dampers. The subcontract imposed mandatory contractor witness observation points and hold points during rework.</p>	S	S	S
				<p>The NWP trip reports are attached to the surveillance report and were found to adequately document the activities observed. The issues identified in the trip reports have been adequately addressed, corrected and accepted (as documented in the final Data Package for the IVS). Please note that Code compliance issues identified during CBFO's oversight were addressed by AECOM nonconformance reports (NCRs) 31004-87-NCR-0011, 31004-87-NCR-0012, and 31004-87-NCR0014. All open action items are being resolved as required by the NWP QA program.</p>		
NWP	S-16-01	10/13 – 10/15/15	<p>Evaluated the implementation and effectiveness of the NWP policies, plans, and procedures related to the electrical safety programs being implemented on the surface at the WIPP site.</p>	S	S	S
				<p>The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective. One CAQ was identified during the surveillance, resulting in the issuance of CAR 16-002.</p>		
NWP	S-16-03	11/09 – 11/10/15	<p>Evaluated TRANSCOM operations performed by NWP for the WIPP, and evaluated the effectiveness of implementing procedures.</p>	S	S	S
				<p>The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective.</p>		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-16-04	11/17 – 11/19/15	Evaluated the implementation and effectiveness of the policies, plans, and procedures associated with the NWP Meteorological Monitoring Program.	S	S	S
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective.		
NWP	S-16-06	11/10 – 11/11/15	Evaluated the performance and effectiveness of NWP project oversight of its SVS contractor, RJR, and RJR subcontractor, Clarage. The contract-required witness and observation hold points in SVS functional acceptance testing of the spare fan for the SVS skid, document review, and loading of the items for transportation to the WIPP were observed.	S	S	S
				The NWP inspection report is attached to the surveillance report, and was found to accurately document the activities observed. The issues identified in the report appear to be satisfactorily addressed. All items were adequately resolved prior to NWP releasing Clarage to ship the SVS spare fan and related hardware to the WIPP site, as required by the NWP QA program. No significant issues were identified that might result in or lead to a non-compliant condition impacting final product integrity.		
NWP	S-16-08	10/13/15	Evaluated the performance, adequacy, and effectiveness of the NWP QA review and acceptance process for the final data package generated by AECOM for the IVS PP 1 filter housing rework/repair activities. The final rework/repair data package was generated to supplement the Flanders Filter final data submittals required by AECOM document 31004-E-B-487, and to document the work performed as required by AECOM NCR 31004-87-NCR-0003, revision 3 and related AECOM NCRs.	U	U	U
				The surveillance team determined that based on this limited evaluation of the NWP-approved AECOM final documentation package for the IVS PP 1 Duct Rework/Repair Final Document Package, the NWP review process is deemed inadequate and ineffectual, resulting in a very low confidence level in the thoroughness of the NWP review process. One CAQ was identified during the surveillance, resulting in the issuance of CAR 16-003. This CAR has been closed.		
NWP	S-16-09	10/15/15	Evaluated the performance of activities associated with the collection of radiological characterization (informational) surveys in the WIPP underground, Zone 8, in preparation for decontamination operations.	S	S	S
				The surveillance team determined that the activities associated with characterization surveys in the contaminated area of the WIPP underground were satisfactorily conducted and implemented in accordance with procedural requirements. One CAQ was identified during the surveillance, resulting in the issuance of CAR 16-009.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-16-10	12/15 – 12/17/15	Evaluated the adequacy, implementation, and effectiveness of the NWP program and procedures for performing unreviewed safety question evaluations. Documentation of unreviewed safety question determinations, screenings, and potential inadequacy in the safety analysis determinations from calendar years 2014 and 2015 were reviewed during the surveillance. Interviews were conducted with the Nuclear Safety Engineering Manager and an Unreviewed Safety Question Regulatory Assurance Analyst.	S	S	S
				The surveillance team determined that NWP procedures are adequate and satisfactorily implemented, including performance of applicability reviews, unreviewed safety question screens, potential inadequacy in the safety analysis determinations, and unreviewed safety question determinations, resulting in an effective Unreviewed Safety Question Program in support of the DSA and changes to WIPP facility configuration.		
NWP	S-16-11	11/05/15 and 11/09/15	Evaluated the performance of work associated with replacing the key switch and troubleshooting the Panel Check failure light on the Horizontal Emplacement/Retrieval Equipment control console in panel 7, room 6, in the WIPP underground to requirements identified in approved work order packages.	S	S	S
				The surveillance team determined that the activities associated with the Horizontal Emplacement/Retrieval Equipment control console key switch replacement and troubleshooting of the Panel Check failure light were satisfactorily conducted in accordance with requirements within the referenced approved work orders.		
NWP	S-16-12	01/12 – 01/14/15	Evaluated compliance with requirements applicable to selected NWP Industrial Safety and Hygiene program activities at the WIPP.	S	S	S
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective. Five CAQs were identified during the surveillance, resulting in the issuance of CARs 16-011, 16-012, 16-013, 16-014, and 16-015.		
NWP	S-16-15	02/16 – 02/18/16	Evaluated the adequacy, implementation, and effectiveness of NWP program requirements and associated implementing procedures governing the control of stores inventory at the WIPP, and the continued effectiveness of implementation of corrective actions related to CBFO CARs 15-024, 15-025, 15-026, and 15-027 generated during surveillance S-15-14.	S	S	S
				The surveillance team determined that the NWP procedures reviewed are adequate and satisfactorily implemented, including management of materials/stores inventory, material receiving, material shipment, and management of excess/surplus government property, resulting in an effective materials/stores program at the WIPP facility. One CAQ was identified during the surveillance, resulting in the issuance of CAR 16-026.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-16-16	01/19 – 01/26/16	Evaluated the implementation of associated NWP QA program requirements governing the acquisition of the Underground Fire Suppression System. The surveillance was initiated based upon the conclusion contained in CBFO Operational Awareness Report, ID #676, addressing the control of documents in the procurement process for Purchase Order 505299, Underground Fire Suppression System.	S	S	S
				The surveillance team determined that the Requisitioner and the Buyer adhered to all requirements of WP 15-PC3609, Rev. 29, <i>Preparation of Purchase Requisitions</i> .		
NWP	S-16-18	09/13 – 09/15/16	Evaluated the implementation and effectiveness of the CBFO and Portage, Inc., SQA programs and the application of SQA to the ICE software application, including configuration management and software life-cycle documentation that is generated and maintained to describe the software. The ICE software code is developed by Portage, and is loaded and managed on the CBFO server by CBFO personnel. Data that are populated into the ICE software application are managed by CBFO.	S	S	S
				The surveillance team determined that the applicable requirements for the ICE SQA activities are satisfactorily implemented and effective in achieving the desired results. One CAQ was identified during the surveillance, resulting in the issuance of CAR 16-071. As of January 8, 2018, CAR 16-071 is still open; therefore, it will be discussed in the next CRA.		
NWP	S-16-19	02/29/16	Evaluated the performance of work associated with roof bolting in panel 7 of the WIPP underground to requirements identified in approved work order packages.	S	S	S
				The surveillance team determined that the activities associated with underground roof bolting were satisfactorily conducted in accordance with requirements within the referenced approved work orders.		
NWP	S-16-20	04/05 – 04/07/16	Evaluated the implementation and effectiveness of the NWP program requirements and associated implementing procedures governing the WDS.	S	S	S
				The surveillance team determined that NWP SQA procedures are adequate and that implementation of these procedures is satisfactory and provides for an effective application of SQA to maintenance, control, and use of the WWIS/WDS.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-16-23	06/28/16	Evaluated the NWP Hoisting Operations program with respect to the requirements of the CBFO Quality Assurance Program and 30 CFR Part 57. The surveillance team also evaluated the implementation and effectiveness of applicable NWP procedures.	S	S	S
				The surveillance team determined that the activities associated with Hoisting Operations were satisfactorily conducted in accordance with requirements contained in the referenced documents.		
NWP	S-16-24	02/23/16	Evaluated the adequacy, implementation, and effectiveness of training of personnel who perform transportation activities governed by the NWP/CCP.	S	S	S
				The surveillance team determined the CCP records reviewed were adequate relative to the flow-down of requirements from the CBFO QAPD; CH and RH TRUPACTs; DOE/WIPP 01-3187, <i>Quality Assurance Program Plan for TRUPACT-II Gas Generation Test Program</i> ; DOE/WIPP 06-3345, <i>Waste Isolation Pilot Plant Flammable Gas Analysis</i> ; CH and RH Packaging Maintenance Manuals; CH and RH Operations Manuals; and CCP-QP-002, <i>CCP Training and Qualification Plan</i> .		
NWP	S-16-26	11/09 – 11/13/16	Evaluated the FAT of the hardware and software (Rockwell Studio 5000 V-24.11, Rockwell Factory Talk View Studio Release # 8.00.00, and Rockwell Panel View Release #7.0) for the IVS permanent programmable logic controllers panel software used in the IVS permanent control system to be installed at the WIPP. The surveillance was conducted at the panel fabricator's (Prime Controls LLC) facilities in Lewisville, Texas.	S	S	S
				The surveillance team determined no deficiencies found in the adequacy of the approved test plan, conducting of the test, or in the functionality of the programming/control of the IVS. The system functioned as expected under an array of system conditions and operating scenarios.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-16-27	02/15 – 02/21/16	Evaluated the installation of exhaust duct support # 22 and exhaust duct spool pieces 20, 21, 22, 24, 26 and 27 for the IVS at the WIPP. These spool pieces will facilitate the final tie-in connection of the IVS exhaust duct to the existing exhaust duct upon completion of the commissioning of the IVS.	S	S	S
				<p>The surveillance team determined that the work plans and procedures used to connect the new IVS exhaust duct to the existing plant exhaust duct system were thorough and sufficient to facilitate the required activities with a minimum impact on plant operations. These activities required the shut-down of the existing exhaust ventilation system which was accomplished on Saturday, February 20, and Sunday, February 21, 2016, in order to limit the effects on ongoing underground activities.</p> <p>In the process of completing this work, it was discovered that the length of spool piece 24 was 2-3/4 in. too long to properly connect the existing 860 fan. This issue was assessed and the spool piece was re-constructed with the appropriate dimensions in accord with project requirements.</p>		
NWP	S-16-28	07/19 – 07/20/16	Evaluated the performance of NWP External Audit E16-08 of Savannah River National Laboratory radiochemistry laboratories for adherence to NWP procedures WP 13-QA.03, <i>Quality Assurance Independent Assessment Program</i> , and WP 13-QA.04, <i>Quality Assurance Department Administrative Program</i> .	S	S	S
				<p>The surveillance team determined that processes of the NWP QA Audit of the Savannah River National Laboratory radiochemistry laboratories is adequate and meets the requirements of the NWP implementing procedures and upper-tier documents.</p>		
NWP	S-16-30	05/31/16	Evaluated the implementation and effectiveness of NWP/CCP procedure CCP-TP-199, <i>CCP/WCS CH TRU Waste Inventory Control</i> , for the control of CH-TRU waste containers temporarily stored at the WCS facility.	S	S	S
				<p>The surveillance team determined that the activities associated with CH-TRU waste inventory control at WCS were satisfactorily conducted and implemented in accordance with CCP-PO-042, Rev. 1, <i>CCP/WCS Interface Document</i>, and CCP-TP-199, Rev. 2, <i>CCP/WCS CH TRU Waste Inventory Control</i>.</p>		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-16-31	08/29 – 09/16/16	Evaluated the hot tie-in of the IVS ductwork into the existing underground ventilation duct system, and the subsequent start-up testing of the IVS fans, filters, and related equipment and systems. NWP Engineering, Operations, and QA personnel conducted the testing activities in accordance with the referenced plans and procedures during the backshift in order to minimize the effect of testing on ongoing work in the underground.	S	S	S
				The surveillance team determined that the test plan and procedures were sufficient to satisfy both design and regulatory requirements. The surveillance also provided verifiable evidence that the IVS functioned as anticipated and met the design requirements.		
NWP	S-16-33	01/20/16	Evaluated the ultrasonic thickness testing of the existing underground supply and exhaust ductwork in the proposed tie-in areas for the IVS at the WIPP. This testing was conducted to ensure the wall integrity of the existing ductwork was sufficient to allow welding of lifting eyes to the duct as well as lifting the sections out by crane in order to connect the new ductwork for the IVS.	S	S	S
				The surveillance team determined that test plans and procedures used to conduct the ultrasonic thickness testing were thorough and sufficient to ascertain the structural integrity of the supply and exhaust duct was sound enough to safely weld lifting eyes to the surface of the duct. These lifting eyes will be used to lift the existing duct sections in order to facilitate the IVS tie-in sections. The testing provided reasonable reassurance that the ductwork was sound enough to safely proceed as planned.		
NWP	S-16-34	03/03 – 03/04/16	Evaluated the inactivation status of CH surface waste handling equipment at the WIPP with relevance to the NCR process.	S	S	S
				The surveillance team determined that the waste handling equipment status is dispositioned correctly according to the criteria found in the NCR procedure.		
NWP	S-16-35	03/18 – 03/24/16	Evaluated the performance of work associated with ground control activities at the WIPP to requirements identified in approved work order packages and documents.	S	S	S
				The surveillance team determined activities associated with the ground control activities in the WIPP underground were satisfactorily conducted in accordance with requirements within the referenced approved work orders and documents.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-16-36	03/03/16 and 03/17/16	Evaluated the IVS mechanical & electrical construction preliminary and final walk throughs prior to formal turnover of the constructed facility (ductwork, ductwork supports, dampers, fan / filter skids, electrical distribution building, electrical equipment, dry type transformers, conduit, cable tray, cable tray supports, conductors and related control devices and equipment).	S	S	S
				<p>The surveillance of these activities found that the final walkthrough required by section 17.3 of WP09-DC.O1, <i>Construction Management Program</i>, was adequate and satisfied all requirements prior to initial turnover for preliminary testing of the IVS mechanical and electrical packages. No concerns were identified which would prevent initial turnover for preliminary testing of the IVS mechanical and electrical packages.</p> <p>The surveillance team determined that, at the time of this surveillance, several administrative issues remained outstanding that would preclude final formal turnover and start-up testing of the IVS and these issues are being addressed. The activities conducted during the surveillance covered by the surveillance report in no way alleviate the requirement that these issues be resolved prior to formal turnover of the completed system and the conducting of any startup testing.</p>		
NWP	S-16-38	05/03 – 05/05/16	Evaluated the adequacy of the NWP Work Control Program with respect to the requirements of the CBFO QA program. The surveillance team also evaluated and verified the implementation and effectiveness of the applicable NWP implementing procedures.	S	S	S
				<p>The surveillance team determined that the NWP Work Control Program is adequate and satisfactory.</p> <p>One CAQ was identified during the surveillance, resulting in the issuance of CAR 16-042.</p>		
NWP	S-16-39	06/21 – 06/23/16	Evaluated the implementation and effectiveness of the NWP Records Management Program with respect to the requirements of the CBFO QA program. The surveillance team also evaluated and verified implementation and effectiveness of applicable NWP implementing procedures.	S	S	S
				<p>The surveillance team determined that the applicable requirements for the NWP Records Management Program activities are satisfactorily implemented and effective.</p> <p>The surveillance team verified sustained corrective action for CARs 15-052, 15-053, 15-054, 15-055, 15-056, and 15-057 which resulted from CBFO audit A-15-04.</p>		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-16-40	05/03/16	Evaluated the performance of work associated with underground openings inspection in Panels 4, 5, and 6 at the WIPP to requirements identified in approved work order packages and documents.	S	S	S
				The surveillance team determined that the activities associated with the panels 4, 5, and 6 openings inspection in the WIPP underground were satisfactorily conducted in accordance with requirements within the referenced approved work orders and documents.		
NWP	S-16-42	08/02 – 08/04/16	Evaluated NWP compliance with the current CGID program and applicable governing documents. This included verifying implementation of NWP’s approved CGID program, as well as the determination of appropriate design/safety functions, failure modes/effects, selecting safety critical characteristics for verification, and the identification of appropriate WIPP DSA references.	S	U	U
				The surveillance team determined that the CGID process is adequately established for compliance with upper-tier requirements, but unsatisfactory in the implementation of these requirements, and ineffective in achieving the desired results. NWP management has instituted immediate compensatory actions pending the submission of a formal Corrective Action Plan. Four CAQs were identified during the surveillance, resulting in the issuance of CARs 16-060, 16-061, 16-062, and 16-063. As of January 8, 2018, these four CARs are still open; therefore, they will be discussed in the next CRA.		
NWP	S-16-44	07/27 – 08/03/16	Evaluated the adequate flow-down of the requirements as defined in the Permit, Attachment F1, RCRA Hazardous Waste Management Job Titles and Descriptions, into NWP Technical Training documents, and verified personnel identified to perform those activities were qualified.	S	S	S
				The surveillance team determined the NWP Technical Training activities and the NWP Hazardous Waste Facility Permit Position Training List, which includes the name of each employee holding a hazardous waste management-related position and each of the positions they hold, are adequate, satisfactorily implemented, and effective. One CAQ was identified during the surveillance, resulting in the issuance of CAR 16-065.		

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NWP	S-16-45	08/09/16	<p>Evaluated the adequate flow-down of the requirements as defined in the Permit, Attachment F1, RCRA Hazardous Waste Management Job Titles and Descriptions, into NWP Technical Training documents, and verified personnel identified to perform those activities were qualified.</p> <p>The surveillance included a verification of documentation (procedures and training records) pertaining to the NWP Technical Training activities associated with Permit Attachment F1.</p>	S	S	S
NWP	S-16-47	08/01 – 08/11/16	<p>Evaluated the adequate flow-down of the requirements as defined in the Permit, Attachment F1, RCRA Hazardous Waste Management Job Titles and Descriptions, into NWP Technical Training documents, and verified personnel identified to perform those activities were qualified.</p> <p>The surveillance included a verification of documentation (procedures and training records) pertaining to the NWP Technical Training activities associated with Permit Attachment F1. The surveillance team conducted interviews with responsible personnel, and examination of training documents and records.</p>	S	S	S

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NWP	S-16-48	08/09/16	<p>Evaluated the adequate flow-down of the requirements as defined in the Permit, Attachment F1, RCRA Hazardous Waste Management Job Titles and Descriptions, into NWP Technical Training documents, and verified personnel identified to perform those activities were qualified.</p> <p>The surveillance included a verification of documentation (procedures and training records) pertaining to the NWP Technical Training activities associated with Permit Attachment F1. The surveillance team conducted interviews with responsible personnel, and examination of training documents and records.</p>	S	S	S
NWP	S-16-50	08/30 – 09/01/16	<p>Evaluated the latest Integrated Evaluation Plan process for compliance with DOE/CBFO-04-3299, Revision 4, <i>Carlsbad Field Office Contractor Oversight Plan</i>, and the corresponding applicable sections of the CBFO QAPD.</p>	U	U	U
NWP	S-16-51	07/14/16	<p>Observed NWP assurance activities, and the dynamometer testing of the WIPP diesel fire pump engine that was rebuilt at the Stewart and Stevenson facility, Albuquerque, NM.</p>	S	S	S

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-16-54	08/16 – 08/17/16	Evaluated the implementation and effectiveness of the NWP Configuration Management Program with respect to the requirements of the CBFO QA program. The surveillance team also evaluated and verified implementation and effectiveness of applicable NWP implementing procedures.	S	S	S
				The surveillance team determined that the applicable requirements for the NWP Configuration Management Program activities are satisfactorily implemented and effective. One CAQ was identified during the surveillance, resulting in the issuance of CAR 16-064.		
NWP	S-16-55	08/09 – 08/11/16	Evaluated emergency drills/exercises performed at the WIPP for compliance with WP 12-ER.13, <i>WIPP Drills and Exercises</i> , and the corresponding applicable sections of the CBFO QAPD.	S	S	S
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective.		
NWP	S-16-58	08/02/, 08/04, 08/09, 08/19, and 08/22/16	Evaluated the NWP waste handling cold operations in the underground in preparation for actual waste emplacement activities.	S	S	S
				The surveillance team determined that activities associated with waste handling underground cold operations were satisfactorily conducted in accordance with requirements contained in the referenced documents.		
NWP	S-16-59	09/06 – 09/07/16	Evaluated the NWP Mine Operations floor milling activities in Panel 7 of the WIPP underground to support eventual waste handling operations.	S	S	S
				The surveillance team determined that the activities associated with Panel 7 floor milling were satisfactorily conducted in accordance with requirements contained in the referenced documents.		
NWP	S-17-01	01/31/17 – 02/02/17	Evaluated the implementation and effectiveness of the NWP Fire Protection Program at the WIPP on the surface and in the underground with respect to the requirements of the CBFO QA program. The surveillance team also evaluated and verified implementation and effectiveness of applicable NWP implementing procedures and follow-up to reports issued with findings from oversight agencies.	S	S	S
				The surveillance team determined that the applicable requirements for the NWP Fire Protection Program activities that were reviewed are satisfactorily implemented and effective. One CAQ was identified during the surveillance, resulting in the issuance of CAR 17-016.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-17-03	11/29 – 11/30/16	Evaluated NWP Central Monitoring Room (CMR) shipment monitoring operations performed by NWP for the WIPP, and evaluated the effectiveness of implementing procedures.	S	S	S
				The surveillance team determined that the applicable requirements for TRANSCOM operations performed by NWP for the WIPP are adequately established, satisfactorily implemented, and effective.		
NWP	S-17-05	04/17 – 04/21/17	Evaluated the implementation and effectiveness of the CBFO Generator Site Technical Review (GSTR) process as required to be performed by the WIPP –WAC and the WIPP DSA, Chapter 18, requirements.	S	S	S
				The surveillance team determined that the GSTR documents reviewed, activities observed, and interviews conducted, provided evidence to confirm that the applicable requirements for the GSTR process are adequately established, satisfactorily implemented, and effective in achieving the desired results.		
NWP	S-17-06	09/26 – 09/28/17	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. The surveillance team reviewed documentation and conducted personnel interviews to determine that training for CCP personnel is current. Only shipping reports for CH were examined for accuracy and completeness; no RH waste shipping has been performed and there were no reports for the surveillance team to review.	S	S	S
				The surveillance team determined that the applicable requirements for CCP Transportation personnel and shipping activities are adequately established for compliance with upper-tier requirements, satisfactorily implemented, and effective in achieving the desired results.		
NWP	S-17-07	02/21 – 02/28/17	Evaluated the implementation and effectiveness of the NWP program requirements and associated implementing procedures for the WDS. The surveillance also evaluated any changes to the WDS based on the recent revision of the WAC, and the reclassification of the WDS as safety software.	S	S	S
				The surveillance team determined that the NWP processes are adequate, satisfactorily implemented, and effective. One CAQ was identified during the surveillance, resulting in the issuance of CAR 17-026.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-17-10	10/19/16	Evaluated the performance of NWP/CCP personnel at Nuclear Fuel Services, Inc., for adherence to NWP procedure CCP-PO-045, <i>CCP Waste Management Field Observation</i> .	S	S	S
				The surveillance team determined that the activities associated with the implementation of procedure CCP-PO-045 were satisfactorily conducted in accordance with requirements contained in the referenced documents.		
NWP	S-17-11	10/25/16	Evaluated the NWP Mine Operations panel 7 ground survey activities at the WIPP.	S	S	S
				The surveillance team determined that the activities associated with the panel 7 ground survey were satisfactorily conducted in accordance with requirements contained in the referenced documents.		
NWP	S-17-12	11/29/16 – 12/01/16	Provided CBFO oversight of NWP QA personnel’s evaluation of Mine Ventilation Services for continued inclusion on the NWP QSL as described in NWP procedure WP 13-QA3012, <i>Supplier Evaluation/ Qualification</i> . During the surveillance, the team also observed Verification and Validation activities of the commercially available VnetPC Pro+ mine ventilation modeling software developed and distributed by MVS to meet the requirements from ASME NQA-2a-1990, <i>Addenda to ASME NQA-2-1989 Edition QA Requirements for Nuclear Facility Applications; Part 2.7, QA Requirements of Computer Software for Nuclear Facility Applications</i> .	S	S	S
				The surveillance team determined the NWP activities observed were compliant to the NWP requirements, effective, and thorough.		
NWP	S-17-13	08/08/17	Evaluated transportation activities associated with WIPP-generated RCRA hazardous waste, and evaluated the effectiveness of implementing procedures.	S	S	S
				The surveillance team determined that the applicable requirements for activities performed at the WIPP for transportation and handling of RCRA waste are satisfactorily implemented and effective.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-17-21	08/01 – 08/03/17	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 NESHAP reporting activities in accordance with CBFO documents. The surveillance also evaluated and validated the implementation and effectiveness of applicable NWP implementing procedures.	S	S	S
				The surveillance team determined that the applicable requirements for the NWP Environmental NESHAP activities that were reviewed are satisfactorily implemented and effective. One CAQ was identified during the surveillance, resulting in the issuance of CAR 17-044.		
NWP	S-17-22	08/29/17	Evaluated transportation activities associated with NWP Corridor Emergency Preparedness, and evaluated the effectiveness of implementing procedures	S	S	S
				The surveillance team determined that the NWP activities for NWP Corridor Emergency Preparedness are satisfactorily implemented and effective.		
NWP	S-17-23	09/05 – 09/07/17	Evaluated the planning and execution of the NWP Mine Ventilation Program to Title 30 CFR 57.8520, <i>Ventilation Planning and the New Mexico Mine Safety Code for All Mines</i> .	S	S	S
				The surveillance team determined that the NWP Mine Ventilation Program adequately reflects the requirements of 30 CFR 57.8520 with respect to mine ventilation planning, execution, testing and balancing, as well as change control. Equipment is maintained as required and is properly calibrated, and Technical Safety Requirement surveillances are being performed. One CAQ was identified during the surveillance, resulting in the issuance of CAR 17-056. As of January 8, 2018, CAR 17-056 is still open; therefore, it will be discussed in the next CRA.		
NWP	S-17-24	01/03 – 01/04/17	Evaluated the NWP initial waste emplacement activity in Panel 7 of the WIPP.	S	S	S
				The surveillance team determined that the activities associated with Panel 7 waste emplacement were satisfactorily conducted in accordance with requirements contained in the referenced documents.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-17-25	01/03/17	Evaluated NWP activities associated with control of waste containers stored in the Waste Handling Building (WHB) and release of waste containers for emplacement in the WIPP underground.	S	S	S
				The surveillance team determined activities and controls used to release waste containers for emplacement provided verifiable evidence that the procedures in place were sufficient to prevent waste currently stored in the WHB from being inadvertently emplaced without undergoing the required enhanced chemical compatibility evaluation. The procedures in place further require CBFO concurrence with the chemical compatibility evaluation, as well as receipt of written authorization from CBFO to release the waste for emplacement in the WIPP underground.		
NWP	S-17-26	03/07/17	Evaluated the adequacy, implementation, and effectiveness of the Mobile Loading Unit/CCP training activities that direct CH-TRU waste receipt, TRUPACT-II unloading and maintenance, storage of waste containers at WCS, and shipment of empty TRUPACT-IIs from WCS.	S	S	S
				The surveillance team determined that the processes for training of the mobile loading unit personnel for unloading and storage of TRU waste are adequate, satisfactorily implemented, and effective.		
NWP	S-17-27	04/25 – 04/27/17	Evaluated the effectiveness of implementation of WP 13-QA3012, <i>Supplier Evaluation/Qualification</i> , to verify responsibilities and implementation of the process steps as related to applicable upper-tier requirements and the NWP QAPD.	S	S	S
				The surveillance team determined that the NWP procedures reviewed are adequate, satisfactorily implemented, and effective. One CAQ was identified resulting in the issuance of CAR 17-036. As of January 8, 2018, CAR 17-036 is still open; therefore, it will be discussed in the next CRA.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-17-28	08/08 – 08/10/17	Verified the adequacy and implementation of the NWP QA program with respect to annual affirmation of Material at Risk statistics to ensure the Plutonium Equivalent Curie loading of the existing backlog of unshipped certified waste containers is bounded by the mean and 95 percentile values in the WIPP DSA, and to verify the process for checking of individual payloads proposed for shipment to WIPP that ensures local groupings of high Material at Risk containers remain bounded by the WIPP DSA. The surveillance also evaluated and verified the implementation and effectiveness of applicable NWP implementing procedures.	S	S	S
				The surveillance team determined that, overall, procedures and procedure implementation for statistical analysis of Material at Risk and related SQA activities are adequate and satisfactory and implementation efforts result in an effective program.		
NWP	S-17-32	03/21 – 03/31/17	Evaluated the WDS controls established to meet the DSA, section 18.8, Previously Certified Waste Preclusion of Shipments requirements, particularly the requirement for removal of the temporary “Read Only” control in WDS.	S	S	S
				The surveillance team determined that all of the DSA section 18.8 requirements have been met and that the “Read Only” function of the WDS can be removed so that the resumption of shipments to WIPP using previously certified waste from waste streams ID-RF-S3114 and SR-221H-PuOx can occur.		
NWP	S-17-41	04/25 – 04/27/17	Verified the adequacy and implementation of the NWP QA program with respect to application of software quality management and control of software packages that are identified as safety software items. The surveillance also evaluated and verified the implementation and effectiveness of applicable NWP implementing procedures.	S	S	S
				The surveillance team concluded that the activities evaluated are effective and satisfactory for compliance with applicable upper-tier requirements and related WIPP procedures. Two items that were in progress during the surveillance, completion of reviews of re-screenings of safety software items and updates of the Controlled Software Log and the type C “general support software” list, will be evaluated during subsequent assessments to verify that work has been completed and that all records have been updated.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-17-43	07/25/17	Evaluated implementation and effectiveness of NWP/CCP procedure CCP-TP-199, <i>CCP/WCS CH TRU Waste Inventory Control</i> , for the control of CH-TRU waste containers temporarily stored at the WCS facility in Andrews, TX. This surveillance also evaluated the implementation and effectiveness of NWP container management, segregation, HOLD tagging, and nonconformances.	S	S	S
				The surveillance team determined that the activities associated with CH-TRU waste inventory control at WCS were satisfactorily conducted and implemented in accordance with CCP-TP-199, Rev. 2, <i>CCP/WCS CH TRU Waste Inventory Control</i> , and CCP-PO-042, Rev. 1, <i>CCP/WCS Interface Document</i> .		
NWP	S-17-47	09/19 – 09/25/17	Verified the implementation and effectiveness of the NWP Emergency Management Emergency Operations Center with respect to the requirements of the CBFO QAPD. The surveillance team also evaluated and verified implementation and effectiveness of applicable NWP implementing procedures.	S	S	S
				The surveillance team determined that the applicable requirements for the NWP Emergency Management Emergency Operations Center activities that were reviewed are satisfactorily implemented and effective. One CAQ was identified resulting in the issuance of CAR 17-058. As of January 8, 2018, CAR 17-058 is still open; therefore, it will be discussed in the next CRA.		
NWP	S-17-48	09/18/17	Evaluated the execution of the NWP Dry-Deduster Sampling Plan, Revision 0, and Work Order 1734906, Commission of the Deduster.	S	S	S
				The NWP Deduster sampling activity adequately reflected the requirements of the NWP Dry-Deduster Sampling Plan with respect to nuisance dust collection for analysis to determine efficiency of the deduster.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-18-08	12/05 – 12/07/17	Evaluated the waste shipment monitoring activities performed at the WIPP, and evaluated the effectiveness of implementing procedures.	S	S	S
				<p>The surveillance team determined that the applicable requirements for the shipment monitoring program operations performed by NWP Transportation Communications Operations at the WIPP are adequately established for compliance with upper-tier requirements, satisfactory in the implementation of these requirements, and effective in achieving the desired results.</p> <p>Two CAQs were identified resulting in the issuance of CARs 18-003 and 18-008. As of January 8, 2018, both CARs are still open; therefore, it will be discussed in the next CRA.</p>		
NWP	S-18-10	11/14 – 11/16/17	Verified the adequacy and implementation of the NWP SQA Program with respect to application of software quality management and control to the CMR/Central Monitoring System (CMS) safety software application(s). The surveillance also evaluated and verified the implementation and effectiveness of applicable NWP implementing procedures regarding configuration management and change control of the CMS safety software application(s).	S	S	U
				<p>The surveillance team concluded that the management of software configuration and the installation of changes to the CMS software application are satisfactory. The surveillance team also concluded that changes to the CMS software and testing of changes are satisfactory with respect to implementation of the CMS Ignition software. However, the application of SQA to the CMS safety software classified application is not satisfactory regarding documentation of software changes, maintenance of SQA plan documents, and generation and maintenance of SQA life-cycle documentation, including application of SQA to software applications running on LPU and PLC equipment platforms that interface and provide input signal to the CMS software.</p> <p>One CAQ was identified during the surveillance resulting in the issuance of CAR 18-009. As of January 8, 2018, this CAR is still open, therefore it will be discussed in the next CRA.</p>		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
NWP	S-18-20	11/28 – 11/30/17	Evaluated the performance of NWP external Audit E17-09 of IONEX Research Corporation facilities for adherence to NWP WP 13-1, <i>Quality Assurance Program Description</i> , and procedures WP 13-QA.03, Rev. 26, <i>Quality Assurance Independent Assessment Program</i> , and WP 13-QA3012, Rev. 22, <i>Supplier Evaluation/Qualification</i> .	S	S	S
				The surveillance team determined that the processes of the NWP QA audit of IONEX Research Corporation are adequate and meet the requirements of the NWP implementing procedures and upper-tier documents, except for the one finding which resulted in the issuance of CAR 18-010. As of January 8, 2018, CAR 18-010 is still open; therefore, it will be discussed in the next CRA.		
NWP	S-18-23	11/14 – 11/22/17	Evaluated the implementation and effectiveness of DOE/WIPP-17-3593, Revision 0, <i>Oxidation Gas Sampling, Analysis, and Evaluation</i> , performed by CCP personnel of CH-TRU waste containers temporarily maintained at the WCS facility in Andrews, TX.	S	S	S
				The surveillance team determined that the activities associated with sampling and analysis of CH-TRU waste containers for carbon dioxide and nitrous oxide performed by CCP personnel; evaluation of data performed by LANL-CO personnel; and the letter from CBFO personnel recommending final disposition of the waste containers were satisfactorily conducted and implemented in accordance with DOE/WIPP-17-3593, <i>Oxidation Gas Sampling, Analysis, and Evaluation</i> .		
NWP	S-18-24	12/05 – 12/07/17	Evaluated the performance of NWP External Audit E18-03 of RJR Engineering, P.C., dba Encorus Group, facilities for adherence to NWP WP 13-1, <i>Quality Assurance Program Description</i> , and procedures WP13-QA.03, Rev. 26, <i>Quality Assurance Independent Assessment Program</i> ; and WP 13-QA3012, Rev. 22, <i>Supplier Evaluation/Qualification</i> .	S	S	S
				Overall, the surveillance team determined that the processes of the NWP QA Audit of RJR Engineering, P.C., dba Encorus Group, are adequate and meet the requirements of the NWP implementing procedures and upper-tier documents. No concerns were identified.		

**Table AUD-6. Sandia National Laboratories/Carlsbad Program Group Assessments**

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SNL/CPG	A-13-09	02/12 – 02/14/13	Verified the continued adequacy, implementation, and effectiveness of the SNL/CPG WIPP QA program for WIPP activities in accordance with the CBFO QAPD.	S	S	S
				With the exception of two identified CAQs which did not negatively affect the overall program, the SNL/CPG WIPP QA program was found to be adequate, satisfactorily implemented, and effective in achieving the desired results. The two CAQs are documented on CARs 13-012 and 13-013.		
SNL/CPG	A-14-08	02/25 – 02/26/14	Verified the continued adequacy, implementation, and effectiveness of the SNL/CPG WIPP QA program for WIPP activities in accordance with the CBFO QAPD.	S	S	S
				The SNL/CPG WIPP QA program was found to be adequate, satisfactorily implemented, and effective in achieving the desired results.		
SNL/CPG	A-15-11	02/10 – 02/12/15	Verified the continued adequacy, implementation, and effectiveness of the SNL/CPG WIPP QA program for WIPP activities in accordance with the CBFO QAPD.	S	S	S
				The SNL/CPG WIPP QA program was found to be adequate, satisfactorily implemented, and effective in achieving the desired results.		
SNL/CPG	A-16-07	02/09 – 02/11/16	Verified the continued adequacy, implementation, and effectiveness of the SNL/CPG WIPP QA program for WIPP activities in accordance with the CBFO QAPD.	S	S	S
				The SNL/CPG WIPP QA program is adequately established for compliance with upper-tier requirements, satisfactory in the implementation of these requirements, and effective in achieving the desired results.		
SNL/CPG	A-17-06	02/14 – 02/16/17	Verified the continued adequacy, implementation, and effectiveness of the SNL/CPG WIPP QA program for WIPP activities in accordance with the CBFO QAPD.	S	S	S
				The SNL/CPG WIPP QA program is adequately established for compliance with upper-tier requirements, satisfactory in the implementation of these requirements, and effective in achieving the desired results. One CAQ was identified during the audit resulting in the issuance of CAR 17-024.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SNL/CPG	S-14-19	07/29 – 07/31/14	<p>Evaluated the adequacy, implementation, and effectiveness of SNL/CPG plans and procedures related to the application of SQA and configuration management to Performance Assessment Computational Suite computer codes used in the underground modeling of the WIPP site that were migrated from the HP/VMS Computing Cluster and the Linux Alice cluster to the Sun/Solaris cluster. The surveillance also evaluated the testing and qualification of these codes for running on the new hardware and operating system.</p>	S	S	S
				<p>The surveillance team concluded that SQA activities evaluated are adequate with respect to procedural compliance and are satisfactorily implemented and effective.</p>		

**Table AUD-7. Savannah River Site Assessments**

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SRS	A-13-02	11/06 – 11/08/12	Evaluated the continued adequacy, implementation, and effectiveness of the SRS/CCP TRU waste characterization and certification activities for CH SCGs S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste, and RH SCG S5000 debris waste.	S	S	S
				<p>The audit team concluded that, overall, the SRS/CCP technical and QA programs, as applicable to audited activities, were adequately established for compliance with upper-tier requirements. The audit team verified that the SRS/CCP program for characterization and certification activities related to CH SCGs S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste, and RH SCG S5000 debris waste continues to be adequate, satisfactorily implemented, and effective. The audit team also determined that the SRS/CCP QA program requirements are being satisfactorily implemented and are effective.</p> <p>Four CAQs were identified during the audit necessitating the initiation of CARs 13-002, 13-003, 13-006, and 13-008.</p>		
SRS	A-14-04	11/13 – 11/15/13	Evaluated the continued adequacy, implementation, and effectiveness of the SRS/CCP TRU waste characterization and certification activities for CH SCGs S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste, and RH SCG S5000 debris waste.	S	S	S
				<p>The audit team concluded that the applicable SRS/CCP TRU waste characterization activities, as described in the associated implementing procedures, are adequate, satisfactorily implemented, and effective. One CAQ was identified during the audit necessitating the initiation of CAR 14-006.</p>		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SRS	A-15-02	11/04 – 11/06/14	Evaluated the adequacy, implementation, and effectiveness of the SRS/CCP TRU waste characterization and certification activities for CH SCGs S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste, and RH SCG S5000 debris waste.	S	S	S
				<p>The audit team concluded that, overall, the SRS/CCP technical and QA programs, as applicable to audited activities, were adequately established for compliance with upper-tier requirements. The audit team verified that the SRS/CCP program for characterization and certification activities related to CH SCGs S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste, and RH SCG S5000 debris waste continues to be adequate, satisfactorily implemented, and effective. The audit team also determined that the SRS/CCP QA program requirements are satisfactorily implemented and effective.</p> <p>One CAQ resulted in the issuance of CAR 15-011.</p>		
SRS	A-16-02	12/03 – 12/04/15	Evaluated documentation to verify adequacy, implementation, and effectiveness of the SRS/CCP TRU waste characterization and certification activities for CH SCGs S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste, and RH SCG S5000 debris waste.	I	I	I
				<p>The audit team concluded that, due to the limited scope of this audit and inactivity since Audit A-15-02, the audit team was unable to determine the overall adequacy, implementation, and effectiveness of SRS/CCP waste characterization activities.</p> <p>However, the audit team reviewed document revisions made since the last audit (A-15-02) relative to acceptable knowledge and dose-to-curie (DTC) associated with radiological characteristics of waste. Additionally, WAP-QA elements established for the control of personnel qualification and training, documents and records, and nonconformance reporting were examined.</p> <p>Once waste characterization field activities resume at the SRS, CBFO will conduct a recertification audit as a basis for reinstating authority to perform waste characterization activities and resume waste shipments from SRS to the WIPP.</p>		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SRS	A-17-02	12/06 – 12/08/16	<p>Evaluated documentation to verify adequacy, implementation, and effectiveness of the SRS/CCP TRU waste characterization and certification activities for CH SCGs S3000 homogeneous solids waste, S4000 soils/gravel waste, and S5000 debris waste, and RH SCG S5000 debris waste. No transportation activities were evaluated during the audit.</p>	I	I	I
				<p>TRU waste characterization activities at the SRS have been suspended and no characterization field activities have occurred since the previous recertification audit (A 16-02, conducted December 3 - 4, 2015). The results of this audit have confirmed that CCP operations at the SRS continue to be in a state of suspension. Activities performed at SRS after the previous recertification audit involved revisions to documents relative to radiological characteristics of waste.</p> <p>Due to the limited scope of this audit and inactivity at the SRS since Audit A-16-02, the audit team was unable to determine the overall adequacy, implementation, and effectiveness of SRS/CCP waste characterization and certification activities. The audit team concluded that the SRS/CCP QA programs evaluated were adequately established for compliance with applicable upper-tier requirements, satisfactorily implemented, and effective. Also, CBFO has not provided the required BOK document specifying when waste with oxidizing chemicals is acceptable; therefore, it was not available for evaluation during the audit.</p> <p>Once waste characterization field activities resume at the SRS, CBFO will conduct a recertification audit as a basis for reinstating authority to perform waste characterization activities and resume waste shipments from SRS to the WIPP.</p>		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SRS	A-18-02	10/17 – 10/19/17	<p>Evaluated documentation to verify adequacy, implementation, and effectiveness of the SRS/CCP TRU waste characterization and certification activities for CH SCGs S3000 solids waste, S4000 soils/gravel waste, and S5000 debris waste, and RH SCG S5000 debris waste.</p> <p>The sole CCP activity related to SRS AK has been the development and approval of Enhanced AK products for specific SRS waste streams. As a result, the AK portion of this audit was focused on available enhanced AK products and supporting documentation for subpopulations of SRS TRU waste streams SR-221H-PuOx (containers in the WHB and at SRS), SR-W027-HBL-BOX (containers in the WHB), and SR-MD-PAD1 (containers in the WHB). Also, the BOK for waste streams SR-W027-HBL-BOX and SR-MD-PAD1 have been approved by CBFO for the containers in the WHB. Waste stream SR-221H-PuOx does not require a BOK (no oxidizing chemicals are present).</p> <p>Documentation associated with transportation activities evaluated during the audit was limited to the SR-221H-PuOX waste stream.</p>	I	I	I
				<p>TRU waste characterization activities at the SRS have been suspended and no characterization field activities have occurred since the previous recertification audit (A-17-02, conducted December 6 - 8, 2016). The results of Audit A-18-02 confirmed that SRS/CCP operations at the SRS continue to be in a state of suspension.</p> <p>Due to the limited scope of this audit and inactivity at the SRS since Audit A-17-02, the audit team was unable to determine the overall adequacy, implementation, and effectiveness of SRS/CCP waste characterization and certification activities. The audit team concluded that the SRS/CCP QA elements of enhanced AK evaluated were adequately established for compliance with applicable upper-tier requirements, satisfactorily implemented, and effective.</p> <p>Once waste characterization field activities resume at the SRS, CBFO will conduct a recertification audit as a basis for reinstating authority to perform waste characterization activities and resume waste shipments from SRS to the WIPP.</p> <p>One CAQ identified during the audit resulted in the issuance of CAR 18-001.</p>		
SRS	S-13-20	03/05 – 03/13/13	<p>Reviewed and evaluated the adequacy, implementation, and effectiveness of the NWP/CCP NDA waste characterization process using the Nondestructive Assay Box Counter (NABC) gamma modality with the five-foot setback configuration for characterizing and certifying CH SCG S5000 debris wastes in SWB.</p>	S	S	S
				<p>The surveillance team verified that NABC five-foot setback configuration procedures adequately address upper-tier requirements. The team also determined that the processes for measurement of SWBs and the associated activities evaluated during this surveillance are satisfactorily implemented, and that the program is effective.</p>		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SRS	S-14-20	05/13 – 05/19/14	Evaluated documentation for supporting the characterization of RH S5000 debris waste, specific to the radiological characterization of waste stream SR-RH-SDD.01 consisting of three sealed plutonium-beryllium neutron sources from the SRS Physics Laboratory.	S	S	S
				The surveillance team found the process for radiological characterization of the three SRS RH sealed sources to be adequate with respect to procedural compliance with requirements and satisfactory and effective in the implementation of those requirements. Two CAQs were identified during the surveillance, resulting in the issuance of CARs 14-041 and 14-042.		
SRS	S-15-06	10/15/14	Evaluated field activities associated with NDA and RTR processes and associated equipment used by the NWP/CCP at the SRS for the characterization of CH-TRU SCGs S3000 homogeneous solids, S4000 soils/gravel, and S5000 debris wastes. The purpose of the surveillance was to evaluate the degree of effective implementation of associated requirements and to supplement the annual recertification audit of SRS/CCP (A-15-02) to be conducted November 4 – 6, 2014, at the Skeen-Whitlock Building in Carlsbad, New Mexico.	S	S	S
				The SRS/CCP activities and related requirements associated with NDA and RTR for the characterization of CH-TRU SCGs S3000, S4000 and S5000 are effectively implemented and satisfactory in achieving the desired results.		
SRS	S-17-31	03/21– 03/31/17	Evaluated SRS/CCP preparations to ship SRS/CCP Waste Stream SR-221H-PuOX (SCG S5000) for compliance to Revision 8 of the WAC, Appendix I, and Revision 5b of the DSA, section 18.8. This activity is performed to address Corrective Action item 1 of the CAP for WA-1.PRE CAP, developed in response to issues DOE-2-PreShip 1 as identified in the Office of Environmental Management (EM) Management Assessment Report for the Resumption of the National Transuranic Waste Program, issued March 2017.	S	S	S
				The surveillance team determined that all of the DOE/CBFO-16-3568, Plan for Validating Currently Certified Waste, Revision 2, section 5.1, 5.2, and 5.3 requirements have been met; the resumption of shipments of currently certified SR-221H-PuOx waste to WIPP is acceptable.		

**Table AUD-8. Carlsbad Field Office Assessments**

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
CBFO	A-13-26	08/20 – 08/22/13	Evaluated the adequacy, implementation, and effectiveness of selected QA processes related to the CBFO QA program. The audit included NQA-1-1989, Criteria 4 through 7.	S	S	S
				The audit team concluded that, overall, the CBFO QAPD is adequate relative to the flow-down of requirements from the NQA-1-1989 edition, and the associated CBFO implementing procedures are adequate. Two CARs (13-055 and 13-056) were identified as a result of the audit.		
CBFO	A-14-22	09/02 – 09/03/14	Evaluated the adequacy, implementation, and effectiveness of selected QA processes related to the CBFO QA program. The audit included NQA-1 1989 Criteria 17 through 18.	S	S	S
				The audit team concluded that, overall, the CBFO QAPD is adequate relative to the flow-down of the requirements from the NQA-1-1989 edition, and the associated CBFO implementing procedures are adequate. One CAR (14-060) was identified as a result of the audit.		
CBFO	A-14-23	09/24 – 09/25/14	Evaluated the adequacy, implementation, and effectiveness of technical and QA activities related to the CBFO Performance Demonstration Program (PDP).	S	S	S
				The audit team concluded that the PDP QA program was adequate for the work performed and was implemented in accordance with the required program documents. The technical areas evaluated were determined to be effective.		
CBFO	A-16-27	09/20 – 09/22/16	Evaluated the degree of adequacy, implementation, and effectiveness of the CBFO Document Control Program for compliance with the requirements of the CBFO QAPD.	S	S	S
				The audit team concluded that the CBFO Control Document Control Program continues to adequately address applicable upper-tier requirements and remain satisfactorily implemented and effective. Three CARs (16-072, 16-073, and 16-074) were identified as a result of the audit.		
CBFO	A-17-28	09/05 – 09/13/17	Evaluated the degree of adequacy, implementation, and effectiveness of the CBFO PDP Management for compliance with the requirements of the CBFO QAPD.	S	S	S
				The audit team concluded that the CBFO PDP Management continues to adequately address applicable upper-tier requirements and remains satisfactorily implemented and effective. One concern determined to be a CAQ resulted in the issuance of CAR 17-057. As of January 8, 2018, CAR 17-057 is still open; therefore, it will be discussed in the next CRA.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
CBFO	A-17-29	08/29 – 08/31/17	Evaluated the degree of adequacy, implementation, and effectiveness of the CBFO QA program document implementation supporting NQA-1-1989 Criteria 1, 2, 4, 7, and 16-18 for compliance with the requirements of the CBFO QAPD as well as Commercial Grade Dedication.	S	S	S
				<p>Four CARs (17-051, 17-052, 17-053, and 17-055) were issued but determined not to negatively affect the overall adequacy and implementation of the CBFO QAPD. As a result, the audit team concluded that the CBFO QAPD implementation continues to adequately address applicable upper-tier requirements and remains satisfactorily implemented and effective.</p> <p>As of January 8, 2018, all four CARs are still open; therefore, they will be discussed in the next CRA.</p>		
CBFO	S-13-23	05/07 – 05/09/15	Evaluated the effective implementation of the CBFO QA concern classification process described in CBFO MP 3.1, <i>Corrective Action Reports</i> , CBFO MP 10.2, <i>Surveillances</i> , and CBFO MP 10.3, <i>Audits</i> .	S	S	S
				<p>Based on the surveillance, the team has determined that, for a period of time, the requirements for classifying concerns were not consistently applied. Furthermore, the surveillance team determined that the apparent root cause for inappropriate classifications is attributed to a misinterpretation of the program requirements. Accordingly, the CBFO Office of Quality Assurance should take the appropriate measures to address and correct the apparent root cause and the instances reported herein to reduce the likelihood of recurrence. However, the surveillance purpose was complete and the team determined that the CBFO process was established, satisfactorily implemented, and effective.</p> <p>Five CAQs were identified during the surveillance resulting in the issuance of CARs 13-033 to 13-037.</p>		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
CBFO	S-15-35	04/28 – 04/30/15	Evaluated CBFO implementation of DOE Order 436.1, <i>Departmental Sustainability</i> , requirements (Environmental Management System) and ISO 14001:2004, <i>Environmental Management Systems-Requirements with Guidance for Use</i> , and evaluated the adequacy of DOE/WIPP-05-3318, <i>Waste Isolation Pilot Plant Environmental Management System Description</i> , in implementing DOE Order 436.1 and ISO 14001:2004.	S	S	S
				The surveillance determined that DOE/WIPP-05-3318 adequately implements DOE Order 436.1 and ISO 14001:2004, and the CBFO plans, procedures, and other supporting documentation have been verified adequate, satisfactorily implemented, and effective. One CAQ was identified during the surveillance resulting in the issuance of CAR 15-047.		
CBFO	S-15-38	03/11 – 03/12/15	Evaluated the performance and effectiveness of NWP’s project oversight of its Criticality Control Overpack contractor, NFT, Inc., in compliance with NWP WP 13-QA-49, Rev. 2, <i>Quality Assurance Inspection Plan for the Criticality Control Overpack</i> . The surveillance team observed the contract-required first article inspection of NFT production of NWP Serial #000716.	S	S	S
				The surveillance determined that the NWP Criticality Control Overpack Inspection adequately and correctly documented the inspection activities. In addition, the items inspected in the checklist were found to be adequate as required by the NWP QA program.		
CBFO	S-15-50	07/07 – 07/09/15	Evaluated the CBFO corrective action responses to Judgements of Need (JONs) that required training, as documented in the <i>February 6, 2015, Corrective Action Plan Addressing the Accident Investigation Reports of the Underground Salt Haul Truck Fire at the Waste Isolation Pilot Plant, February 5, 2014, and the Phase 1, Radiological Release Event at the Waste Isolation Pilot Plant, on February 14, 2014.</i>	S	S	S
				The surveillance team determined that training-specific actions related to the <i>February 6, 2015, Corrective Action Plan Addressing the Accident Investigation Reports of the Underground Salt Haul Truck Fire at the Waste Isolation Pilot Plant, February 5, 2014, and the Phase 1, Radiological Release Event at the Waste Isolation Pilot Plant, on February 14, 2014</i> , are being tracked and objective evidence of completion is being managed by the CBFO Corrective Action Manager.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
CBFO	S-15-51	05/19/15	Evaluated the CBFO corrective action responses to JONs that required new procedures or revisions to existing procedures, as documented in the <i>February 6, 2015, Corrective Action Plan Addressing the Accident Investigation Reports of the Underground Salt Haul Truck Fire at the Waste Isolation Pilot Plant, February 5, 2014, and the Phase 1, Radiological Release Event at the Waste Isolation Pilot Plant, on February 14, 2014.</i>	S	S	S
				The surveillance team determined that CBFO development of new procedures and revisions to existing procedures in response to the <i>February 6, 2015, Corrective Action Plan Addressing the Accident Investigation Reports of the Underground Salt Haul Truck Fire at the Waste Isolation Pilot Plant, February 5, 2014, and the Phase 1, Radiological Release Event at the Waste Isolation Pilot Plant, on February 14, 2014,</i> were timely, adequate, and effective.		
CBFO	S-16-46	09/06 – 09/08/16 & 09/12/16	Evaluated the implementation and effectiveness of CBFO MP 10.9, Rev. 3, <i>Surveillance, Operational Awareness, and Issues Management</i> , to verify responsibilities and implementation of the process steps as related to applicable upper-tier requirements and the CBFO QAPD.	M	M	M
				Overall, the surveillance team determined that the processes of the CBFO NTP and WIPP marginally meet the requirements of CBFO MP 10.9, implementing procedures, and upper-tier documents. Four CAQs were identified during the surveillance necessitating the initiation of CARs 16-067, 16-068, 16-069, and 16-070. As of January 8, 2018, these CARs are still open, therefore they will be discussed in the next CRA.		
CBFO	S-17-02	11/29 – 12/13/16	Evaluated CBFO NTP implementation and the effectiveness of management procedure (MP) 4.15, <i>The Processing of TRU Waste Acceptable Knowledge Summary Reports</i> , Rev. 0, and MP 4.17, <i>CBFO Review and Approval of Waste Stream Profile Forms</i> , Rev. 0.	S	S	S
				The surveillance team determined that the applicable requirements for MP 4.15 and MP 4.17 operations performed by CBFO NTP are established, satisfactorily implemented, and effective in achieving the desired results.		
CBFO	S-17-04	01/17 – 01/19/16	Evaluated CBFO NTP implementation and the effectiveness of TRANSCOM processes. The surveillance team evaluated implementation of the contingency plan for CBFO TRANSCOM operations by MA-CHIS at the Skeen-Whitlock Building.	S	S	S
				The surveillance team determined that the applicable requirements for the CBFO TRANSCOM program operations performed by MA-CHIS are established, implemented, and effective in achieving the desired results.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
CBFO	S-17-35	05/16 – 05/20/17	Evaluated the CBFO and all WIPP Participant programs and activities related to implementation of the SQA requirements of the CBFO QAPD, Rev. 13, specific to section 6.0. All applicable implementing procedures and plans were reviewed by the surveillance team.	S	S	S
				Overall, the surveillance team concludes that all of the WIPP Participant programs meet the requirements of the CBFO QAPD, Rev. 13, changes specific to section 6.0.		
CBFO	S-18-05	10/24 – 10/26/17	Verified the implementation and effectiveness of CBFO Management Procedure 3.6, <i>Management of Reviews Conducted by External Organization</i> , with respect to the requirements of the current CBFO QAPD. The surveillance was also conducted to satisfy corrective action plan commitments of DOE EM-Headquarters Audit EM-PA-15-17 findings in relation to MP 3.6 not being utilized by CBFO staff. The EM audit was conducted on July 26 – 29, 2017.	U	U	U
				The surveillance team concluded that the management of reviews conducted by external organizations, as described in CBFO MP 3.6, is not satisfactorily established for compliance with applicable upper-tier requirements and the degree of implementation is not acceptable. The follow-up surveillance for these unsatisfactory results will be reported in the next CRA.		
				One CAQ was identified during the surveillance resulted in the issuance of CAR 18-002. As of January 8, 2018, CAR 18-002 is still open; therefore, it will be discussed in the next CRA.		

**Table AUD-9. Oak Ridge National Laboratory Assessments**

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
ORNL	A-13-12	04/23 – 04/25/13	Evaluated the adequacy, implementation, and effectiveness of the ORNL/CCP TRU waste characterization activities for RH and CH SCG S5000 debris waste and CH SCG S4000 soils/gravel waste.	I	I	I
				Since ORNL/CCP suspended waste characterization activities at the ORNL, the audit team was unable to determine the adequacy of program plans and procedures, the implementation of plans and procedures, and the effectiveness of characterization activities. Therefore, the adequacy, implementation, and effectiveness of all aspects of the ORNL/CCP waste characterization activities continue to be indeterminate.		
ORNL	A-14-03	01/14 – 01/16/14	Evaluated for the adequacy, implementation, and effectiveness of the technical and QA activities performed by NWP/CCP at ORNL for characterization and certification of CH and RH SCG S5000 debris wastes, CH SCG S3000 solids waste, and CH SCG S4000 soils/gravel waste. Transportation evaluations were limited to flammable gas analysis, since these were the only transportation- related activities being conducted.	S	S	S
				The audit team concluded that the ORNL/CCP technical and QA programs evaluated were adequately established for compliance with applicable upper-tier requirements, satisfactorily implemented, and effective in achieving the desired results. One CAQ was identified during the audit necessitating the initiation of CAR 14-009.		
ORNL	A-14-29	07/29 – 07/30/14	Evaluated the adequacy, implementation, and effectiveness of the technical and QA activities performed by NWP/CCP at ORNL for characterization and certification of CH SCG S3000 solids waste, CH SCG S4000 soils/gravel waste, and CH SGC S5000 debris waste.	S	S	S
				The audit team concluded that the ORNL/CCP technical and QA programs evaluated were adequately established for compliance with applicable upper-tier requirements, satisfactorily implemented, and effective in achieving the desired results.		
ORNL	A-15-09	03/31 – 04/02/15	Evaluated the adequacy, implementation, and effectiveness of the technical and QA activities performed by NWP/CCP at ORNL for characterization of CH and RH SCG S5000 debris wastes, CH SCG S3000 solids waste, and CH SCG S4000 soils/gravel waste. Transportation evaluations were limited to the area of flammable gas analysis, since that was the only transportation-related activity being performed.	S	S	S
				The audit team concluded that the ORNL/CCP technical and QA programs evaluated were adequately established for compliance with applicable upper-tier requirements, satisfactorily implemented, and effective in achieving the desired results. One CAQ identified during the audit necessitating the issuance of CAR 15-033.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
ORNL	A-16-15	04/19 – 04/21/16	<p>Evaluated the adequacy, implementation, and effectiveness of the technical and QA activities performed by NWP/CCP at ORNL for characterization of CH and RH SCG S5000 debris wastes, CH SCG S3000 solids waste, and CH SCG S4000 soils/gravel waste. Transportation evaluations were limited to the area of flammable gas analysis, since that was the only transportation-related activity being performed.</p>	S	S	S
				<p>The audit team concluded that the ORNL/CCP technical and QA programs evaluated were adequately established for compliance with applicable upper-tier requirements, satisfactorily implemented, and effective in achieving the desired results.</p> <p>One CAQ was identified during the audit necessitating the initiation of CAR 16-035.</p>		
ORNL	A-17-07	10/17 – 10/19/16	<p>Evaluated compliance to changes in the WIPP WAC, Rev. 8, as applicable to TRU waste characterization activities being performed by CCP at the ORNL for CH SCGs S3000 solids, S4000 soils/gravel, and S5000 debris wastes, and RH SCG S5000 debris wastes. Areas of focus included the enhanced AK process; the expansion of the WIPP WAC Appendix A, incorporating radioassay of both CH and RH TRU waste and the clarification of minimum detectable activity and lower limit of detection terms; the clarification and strengthening of the requirements and methods for NDA system quality control and documentation was added to adjust for the elimination of the requirement for weekly interfering matrix measurements; and radiography training for operators as specified in the WIPP WAC Appendix F. The GSTR process was previously evaluated during CBFO Surveillance S-16-57.</p>	S	S I for Enhanced AK	S I for Enhanced AK
				<p>The audit team concluded the characterization activities at ORNL continue to adequately address applicable upper-tier requirements and remain satisfactorily implemented and effective. However, the audit team was unable to completely evaluate the enhanced AK processes; therefore, implementation and effectiveness of enhanced AK could not be verified and was deemed indeterminate. Also, CBFO has not provided the BOK document specifying when waste with oxidizing chemicals is acceptable; therefore, it was not available for evaluation during the audit.</p> <p>One CAQ was identified during the audit necessitating the initiation of CAR 17-006. This CAR has been closed.</p>		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
ORNL	A-17-09	10/04 – 10/05/16	The audit team performed the initial evaluation of the adequacy, implementation, and effectiveness of the technical and QA aspects of Neutron DTC and Radiological Characterization Sampling activities performed by NWP/CCP at ORNL for characterization of RH SCG S5000 debris wastes. The audit was performed at the ORNL site in Oak Ridge, TN.	S	S	S
				The audit team concluded that the ORNL/CCP technical and QA programs evaluated were adequately established for compliance with applicable upper-tier requirements, satisfactorily implemented, and effective in achieving the desired results.		
ORNL	A-17-21	04/18 – 04/20/17	The scope of the audit included evaluations for the continued adequacy, implementation, and effectiveness of the technical and QA activities performed by NWP/CCP at ORNL for characterization of CH and RH SCG S5000 debris wastes, CH SCG S3000 solids waste, and CH SCG S4000 soils/gravel waste. Transportation evaluations were limited to the area of Flammable Gas Analysis, since that was the only transportation-related activity being performed. 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 technical review were resolved per DOE/WIPP-16-3564, <i>Generator Site Technical Review Procedure</i> .	S	S I for Enhanced AK	S I for Enhanced AK
				The audit team concluded that the ORNL/CCP technical and QA programs evaluated were adequately established for compliance with applicable upper-tier requirements, satisfactorily implemented, and effective in achieving the desired results. CBFO has not provided the required BOK document specifying when waste with oxidizing chemicals is acceptable; therefore, it was not available for evaluation during the audit. Until all enhanced AK requirements are implemented, the AK process at ORNL will be deemed indeterminate. Further, batch data reports and field activities for characterizing S3000 solids waste were not evaluated during this audit due to inactivity for this SCG. Two CAQs were identified during the audit necessitating the initiation of CARs 17-031 and 17-032. Both CARs have been closed.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
ORNL	S-17-40	07/10 – 07/12/17	<p>Evaluated ORNL/CCP preparations to ship waste from ORNL/CCP Waste Stream OR-NFS-CH-SOIL (SCG S4000) for compliance to the WIPP DSA, Section 18.8, and Revision 8 of the WAC, Appendices H (H.5) and I.</p> <p>The surveillance scope was to evaluate the enhanced AK process that was deemed “indeterminate” in the Final Audit Reports for Audit A-17-07 and Audit A-17-21.</p>	S	S	S
				<p>The surveillance team concluded that the applicable requirements of the CBFO QAPD, WAC, DSA, CCP-TP-201, <i>Verification of Shipping Criteria and Emplacement Criteria</i>, and related quality assurance and technical implementing procedures specific to OR-NFS-CH-SOIL have been met for the enhanced AK process. At this time, all necessary requirements for the completion of CCP-TP-201 Attachment 1 have been met, except for the requirement for receipt of CBFO written approval to ship the waste stream or subpopulation. After the written approval from CBFO to ship the specific OR-NFS-CH-SOIL containers is received, CCP-TP-201 Attachment 1 – SPM Previously Certified Waste Shipping Criteria Review Checklist, can be completed, releasing the specific OR-NFS-CH-SOIL waste to be shipped from ORNL to the WIPP. The surveillance team further concludes that the previous indeterminate findings in regards to AK processes in Audit Reports A-17-07 and A-17-21 have now been met. The surveillance team finds that the enhanced AK for ORNL Waste Stream OR-NFS-CH-SOIL, SCG S4000, is adequate, implemented, and effective.</p>		
ORNL	S-16-57	09/19 – 09/23/17	<p>Evaluated the implementation and effectiveness of the CBFO GSTR process. The GSTR is conducted by the CBFO NTP Compliance Division and NWP (co-permittees) and is a review of generator site activities applicable to treatment, packaging, certification, and management of transuranic waste at DOE site waste management programs.</p>	S	S	S
				<p>The surveillance team determined that the implementation and effectiveness of the GSTR process is adequate and compliant with applicable requirements.</p>		

**Table AUD-10. Advanced Mixed Waste Treatment Project Assessments**

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
AMWTP	A-13-01	10/15 – 10/18/12	Evaluated continued adequacy, implementation, and effectiveness of the AMWTP QA program and the technical processes related to AMWTP characterization and certification activities for CH SCG S3000 homogeneous solids and CH SCG S5000 debris wastes.	S	S	S
				The audit team concluded that the AMWTP technical and QA programs, as applicable to the audited activities, were adequate in addressing upper-tier requirements. The audit team concluded that, overall, the defined AMWTP QA and technical programs for characterizing CH SCG S3000 homogeneous solids and CH SCG S5000 debris waste were being satisfactorily implemented in accordance with the CBFO QAPD, the WAP, and the WAC, and were effective in achieving the desired results.		
AMWTP	A-14-01	10/01 – 10/03/13	Evaluated continued adequacy, implementation, and effectiveness of the AMWTP QA program and the technical processes related to AMWTP characterization and certification activities for CH SCG S3000 homogeneous solids and CH SCG S5000 debris wastes.	S	S	S
				The audit team concluded that, overall, the defined AMWTP QA and technical programs for characterizing CH SCG S3000 homogeneous solids and CH SCG S5000 debris waste were satisfactorily implemented in accordance with the CBFO QAPD, the WAP, and the WAC, and were effective in achieving the desired results.		
AMWTP	A-15-01	10/07 – 10/09/14	Evaluated continued adequacy, implementation, and effectiveness of the AMWTP QA program and the technical processes related to AMWTP characterization and certification activities for CH SCG S3000 homogeneous solids and CH SCG S5000 debris wastes.	S	S	S
				The audit team concluded that, overall, the AMWTP technical and QA programs, as applicable to the audited activities, were adequate in addressing upper-tier requirements and the defined AMWTP QA and technical programs for characterizing CH SCG S3000 homogeneous solids and CH SCG S5000 debris waste were satisfactorily implemented in accordance with the CBFO QAPD, the WAP, and the WAC, and were effective in achieving the desired results.		
				Four CAQs were identified during the audit necessitating the initiation of CARs 15-002, 15-003, 15-004, and 15-005.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
AMWTP	A-16-01	10/27 – 10/29/15	<p>Evaluated continued adequacy, implementation, and effectiveness of the AMWTP TRU waste characterization and certification activities for CH SCG S3000 homogeneous solids and CH SCG S5000 debris waste. In addition, the NDA Retrieval Box Assay System was evaluated for initial certification for characterization of SCG S3000 and SCG S5000 wastes. The audit team evaluated the system and batch data reports generated, as well as assessed the process to allow the assembly of CH waste payloads to include some compacted containers (pucks) that cannot be directly measured under AMWTP’s currently approved program.</p>	S	S	S
				<p>The audit team concluded that the AMWTP technical and QA programs, as applicable to the audited activities, were adequate in addressing upper-tier requirements. With the exception of RTR, the defined AMWTP QA and technical programs for characterizing CH SCG S3000 homogeneous solids and CH SCG S5000 debris waste were satisfactorily implemented in accordance with the CBFO QAPD, the WIPP WAP, and the WAC, and were effective in achieving the desired results.</p> <p>Five CAQs were identified during the audit necessitating the initiation of CARs 16-004, 16-005, 16-006, 16-007, and 16-008.</p>		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
AMWTP	A-17-04	12/12 – 12/16/16	<p>Evaluated continued adequacy, implementation, and effectiveness of the AMWTP CH-TRU waste characterization and certification activities for SCG S3000 homogeneous solids, SCG S4000 soils/gravel, and SCG S5000 debris waste.</p>	I	I	I
<p>The audit team concluded the AMWTP technical and QA programs, as applicable to the audited activities, were adequate in addressing upper-tier requirements. The defined AMWTP QA and technical programs for characterizing SCG S3000 homogeneous solids, SCG S4000 soils/gravel, and SCG S5000 debris waste were satisfactorily implemented and effective in achieving the desired results, except for RTR of SCG S4000 waste. At the time of audit, no objective evidence was available for review; therefore, the RTR of S4000 was deemed indeterminate.</p> <p>No objective evidence was available for review to verify the AK requirements for completion of AK Assessments Interface Waste Management Documents Lists and the Waste Stream Profile Form for S4000 Accelerated Retrieval Project Soils. CBFO has not provided the required BOK document specifying when waste with oxidizing chemicals is acceptable; therefore, it was not available for evaluation during the audit. Further, a technical review of the generator site’s processes has not been performed per DOE/WIPP-16-3564, <i>Generator Site Technical Review Procedure</i>.</p> <p>Five CAQs were identified during the audit necessitating the initiation of CARs 17-007, 17-008, 17-009, 17-010, and 17-011.</p>						

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
AMWTP	S-13-21	03/20 – 03/21/13	The surveillance team evaluated the use of the Supercompactor to breach prohibited containers and eliminate prohibited items within 55-gallon drums of CH SCG S5000 debris waste through the compaction process. The surveillance team reviewed AMWTP Engineering Design Files supporting that prohibited items (i.e., compressed gases and inner containers with prohibited amounts of liquid) are effectively eliminated through the compaction of 55-gallon drums.	S	S	S
				The surveillance team concluded that the review of the referenced documents suggests that the use of the compaction process using the Supercompactor is an effective method for remediating prohibited items; however, measures should be taken to ensure that personnel are appropriately trained.		
AMWTP	S-14-08	10/08/13	Evaluated the RTR Unit 1001 (equipment ID RTR-RTR-1001) for characterizing CH SCGs S3000 homogeneous solids and S5000 debris waste.	S	S	S
				The surveillance team concluded that upper-tier requirements are adequately incorporated into implementing plans and procedures and RTR characterization procedures are effectively implemented for characterizing S3000 solids waste and S5000 debris waste using RTR Unit 1001.		
AMWTP	S-15-15	06/02 – 06/04/15	The surveillance team evaluated the implementation and effectiveness of approved AMWTP corrective actions related to CBFO CARs 15-002 and 15-005, issued as a result of CBFO Audit A-15-01. The CARs were related to the periodic review process of AMWTP procedures and the identification of numerous instances of incomplete AMWTP training records.	S for CAR 15-002 U for CAR 15-005	S for CAR 15-002 U for CAR 15-005	S for CAR 15-002 U for CAR 15-005
				The surveillance team concluded that although no CAQs were identified during this surveillance, due to the inadequacy of remedial and investigative actions required for closure, CAR 15-005 will remain open pending additional corrective actions. As of January 8, 2018, both CARs have been closed. However, evaluation for adequacy, effectiveness, and implementation remains based on the results at the time of the surveillance.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
AMWTP	S-18-16	12/04 – 12/07/17	Re-evaluated an indeterminate condition that was identified during CBFO Audit A-17-04 of the AMWTP, in particular, the Enhanced AK process. The surveillance included an adequacy review for compliance to the applicable requirements of the WAC, Revision 8, Appendices H and I.	S	S	S
				<p>The surveillance team concluded that the applicable requirements of the CBFO QAPD, the WAC, the WIPP DSA, and related QA and technical implementing procedures specific to the implementation of the Enhanced AK process by AMWTP have been met. While the surveillance team identified four CARs (18-004, 18-005, 18-006, 18-007) during the surveillance, none of the CARs impacts the ability of AMWTP to implement the Enhanced AK process. The indeterminate condition regarding AK that was identified in Audit A-17-04 has been found to be adequately implemented by AMWTP. At this time, all necessary requirements for WAC Appendices H and I have been met, except for the requirement for receipt of CBFO written approval to ship the waste stream or subpopulation. The CBFO written approval to ship the waste stream is a CBFO requirement to meet the WAC Appendix I requirements, not an AMWTP requirement. AMWTP has completed all of the applicable Enhanced AK requirements for the two subpopulations of waste stream BNINW216 examined during this surveillance.</p> <p>As of January 8, 2018, all CARs are still open; therefore, they will be discussed in the next CRA.</p>		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
AMWTP	S-18-17	10/02 – 10/04/17	Evaluated the implementation and effectiveness of the AMWTP and CCP activities for loading and shipment of TRU waste from AMWTP to the WIPP. The surveillance further evaluated RTR of SCG S4000 soils/gravel that was found to be indeterminate during CBFO Audit A-17-04 conducted December 12 – 16 2016. The surveillance team reviewed the interface agreement between CCP and AMWTP, Flammable Gas Sampling and Analysis, Transportation Operations, Shipping Operations, and the RTR of S4000 containers from AMWTP.	S	S	S
				The surveillance team found that the AMWTP transportation program currently shipping CH-TRU waste to WIPP is implemented and effective and is meeting all of the applicable upper-tier requirements. The surveillance team further found that the upper-tier requirements were determined to be satisfactorily adequate, effective, and implemented for RTR of S4000 waste and no longer deemed indeterminate.		

**Table AUD-11. Argonne National Laboratory Assessments**

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
ANL	A-13-24	08/27 – 08/29/13	Evaluated the continued adequacy, implementation, and effectiveness of ANL/CCP programs and processes for RH-TRU waste characterization and certification activities for RH SCG S5000 debris waste.	S	S	S
				The audit team concluded that the ANL/CCP technical and QA programs evaluated were adequately established for compliance with applicable upper-tier requirements, satisfactorily implemented, and effective.		
ANL	A-14-20	09/16 – 09/18/14	Evaluated the continued adequacy, implementation, and effectiveness of ANL/CCP programs and processes for RH-TRU waste characterization and certification activities for RH SCG S5000 debris waste.	S	S	S
				The audit team concluded that the ANL/CCP technical and QA programs evaluated were adequately established for compliance with applicable upper-tier requirements, satisfactorily implemented, and effective. Two CAQs were identified necessitating the initiation of CARs 14-061 and 14-062.		
ANL	A-15-24	09/29 – 10/01/15	Evaluated the continued adequacy, implementation, and effectiveness of ANL/CCP programs and processes for RH-TRU waste characterization and certification activities for RH SCG S5000 debris waste.	S	S	S
				The audit team concluded that the ANL/CCP technical and QA programs evaluated were adequately established for compliance with applicable upper-tier requirements, satisfactorily implemented, and effective. One CAQ was identified during the audit necessitating the initiation of CAR 16-001.		
ANL	A-17-08	11/01 – 11/03/16	Evaluated the ANL/CCP programs and processes for RH-TRU waste characterization and certification activities for RH SCG S5000 debris waste.	S	S I for Enhanced AK	S I for Enhanced AK
				The audit team concluded that the ANL/CCP technical and QA programs evaluated were adequately established for compliance with applicable upper-tier requirements, satisfactorily implemented, and effective. The audit team was unable to completely evaluate the enhanced AK processes; therefore, implementation and effectiveness of enhanced AK could not be verified and was deemed indeterminate. Also, CBFO has not provided the required BOK document specifying when waste with oxidizing chemicals is acceptable; therefore, it was not available for evaluation during the audit.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
ANL	A-17-25	08/15 – 08/17/17	Evaluated the ANL/CCP programs and processes for RH-TRU waste characterization and certification activities for RH SCG S5000 debris waste.	S	I	I
				<p>Overall, the audit team concluded that ANL/CCP technical and QA programs evaluated were adequately established for compliance with applicable upper-tier requirements. However, the audit team was unable to verify effective implementation of most processes due to inactivity at the Host site and lack of objective evidence for review. Also, the CBFO has not provided the BOK document, as required by the WIPP WAC, specifying when waste with oxidizing chemicals is acceptable; therefore, the document was not available for evaluation during the audit.</p> <p>One CAQ was identified during the audit resulting in the issuance of CAR 17-048. As of January 8, 2018, CAR 17-048 is still open; therefore, it will be discussed in the next CRA.</p>		
ANL	S-13-24	09/11 – 09/12/13	Evaluated the adequacy, implementation, and effectiveness of ANL/CCP technical and quality assurance programs, as applicable, to meet the regulatory and contractual requirements for loading and transporting RH-TRU mixed waste to the WIPP from ANL using shielded containers.	S	S	S
				<p>The surveillance team concluded that ANL/CCP implementation of regulatory and contractual requirements was found to be acceptable, satisfactory, and effective.</p>		
ANL	S-15-49	08/25 – 08/27/15	Evaluated the demonstration of adequacy, implementation, and effectiveness of ANL/CCP TRU waste activities for packaging and transportation of CH- and RH-TRU waste dunnage containers as applicable to upper-tier requirements.	S	S	S
				<p>The surveillance team determined that the ANL/CCP Mobile Loading Unit team activities and records evaluated provided adequate evidence of satisfactory implementation of the applicable upper-tier requirements. ANL/CCP implementation of regulatory and contractual requirements was found to be acceptable, satisfactory, and effective.</p>		

**Table AUD-12. Sandia National Laboratories Assessments**

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SNL/CCP	A-14-26	08/05 – 08/07/14	Evaluated the adequacy and effective implementation of program requirements for the characterization and initial certification of RH SCG S5000 debris waste at the SNL relative to the Permit, CBFO QAPD, and the <i>Remote-Handled TRU Waste Characterization Program Implementation Plan (WCPIP)</i> .	S	I	I
				The audit team concluded that the SNL/CCP technical and QA programs evaluated were adequately established for compliance with applicable upper-tier requirements, satisfactorily implemented, and effective in achieving the desired results. However, the team was unable to fully evaluate the DTC program which resulted in an indeterminate evaluation. The DTC program will be reevaluated at a later date. One CAQ was identified during the audit resulting in the issuance of CAR 14-057.		
SNL/CCP	A-15-25	08/18 – 08/20/15	Evaluated the adequacy and effective implementation of program requirements for the characterization and certification of RH SCG S5000 debris waste at SNL relative to the Permit, CBFO QAPD, and WCPIP.	S	S	S
				The audit team concluded that the SNL/CCP technical and QA programs evaluated were adequately established for compliance with applicable upper-tier requirements, satisfactorily implemented, and effective in achieving the desired results. One CAQ was identified during the audit resulting in the issuance of CAR 15-062.		
SNL/CCP	A-17-10	11/15 – 11/17/16	Evaluated the elements of SNL/CCP programs and processes for RH-TRU waste characterization and certification activities for RH SCG S5000 debris waste at SNL relative to the Permit, CBFO QAPD, and WCPIP. The audit also evaluated the newly implemented requirements in Revision 8 of the WIPP WAC.	S	S I for Enhanced AK	S I for Enhanced AK
				The audit team concluded that the characterization activities evaluated at SNL for compliance to the Permit, WCPIP, and the CBFO QAPD continue to adequately address applicable upper-tier requirements and remain satisfactorily implemented and effective in achieving the desired results. The audit team was unable to completely evaluate compliance to the WIPP WAC specific to the enhanced AK processes; therefore, implementation and effectiveness of enhanced AK could not be verified and was deemed indeterminate. Also, CBFO was not provided the BOK document specifying when waste with oxidizing chemicals is acceptable; therefore, no evaluation could be done during the audit.		

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
SNL/CCP	A-17-24	07/18/17	<p>Evaluated the adequacy, implementation, and effectiveness of the technical and QA activities performed by CCP for characterization and certification of RH SCG S5000 debris waste at SNL relative to the Permit, CBFO QAPD, WCPIP, WIPP WAC, and the WIPP DSA, Chapter 18.</p> <p>SNL/CCP TRU waste characterization activities have been suspended, and no characterization activities have occurred since the previous recertification Audit A-17-10, conducted November 15-17, 2016.</p>	I	I	I
				<p>The results of Audit A-17-24 confirmed that SNL/CCP operations are now in a state of suspension. Since SNL/CCP suspended waste characterization activities, the audit team was unable to determine the implementation of plans and procedures, or the effectiveness of characterization activities. Therefore, the adequacy, implementation and effectiveness of all aspects of the SNL/CCP waste characterization activities are indeterminate. Also, CBFO has not provided the required BOK document specifying when waste with oxidizing chemicals is acceptable; therefore, no evaluation could be done during the audit.</p>		
SNL/CCP	S-14-33	06/16 – 06/17/14	<p>Evaluated the implementation of SNL/CCP VE and DTC characterization processes as related to field activities conducted on RH SCG S5000 debris waste in the Building 6580 Hot Cell Facility at SNL within the Kirkland Air Force Base in Albuquerque, New Mexico.</p>	S	S	S
				<p>The surveillance team concluded that the SNL/CCP VE and DTC operations for characterizing RH SCG S5000 debris waste are adequate in meeting upper-tier requirements, and procedures are satisfactorily implemented and effective.</p> <p>Three CAQs were identified during the surveillance necessitating the initiation of CARs 14-048, 14-049, and 14-050.</p>		

**Table AUD-13. Supplier Assessments**

Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
CAST Specialty Transportation, Inc. (CAST)	A-14-25	09/30 – 10/01/14	Evaluated the implementation and effectiveness of CAST for compliance with the DOE Contract and upper-tier requirement documents.	S	S	S
				The audit team concluded that CAST adequately addressed the requirements of the DOE Contract and the U.S. Department of Transportation (DOT) regulations. The requirements associated with transportation activities were satisfactorily implemented and effective relative to upper-tier requirements.		
CAST	A-16-03	01/12 – 01/13/16	Evaluated the adequacy, implementation, and effectiveness of CAST compliance with the DOE Contract and upper-tier requirement documents.	S	S	S
				The audit team concluded that CAST adequately addressed the requirements of the DOE Contract and DOT regulations. The requirements associated with transportation activities were satisfactorily implemented and effective relative to upper-tier requirements.		
CAST	A-17-03	10/04/16	Evaluated the adequacy, implementation, and effectiveness of CAST compliance with the DOE Contract and upper-tier requirement documents.	S	S	S
				The audit team concluded that CAST adequately addressed the requirements of the DOE Contract and DOT regulations. The requirements associated with transportation activities were satisfactorily implemented and effective relative to upper-tier requirements.		
CAST	S-13-13	06/25 – 06/27/13	Evaluated the implementation and effectiveness of CAST for compliance with the DOE Contract and upper-tier requirement documents.	S	S	S
				The surveillance team concluded that CAST adequately addressed the requirements of the DOE Contract and DOT regulatory requirements. Implementation of regulatory and contractual requirements was considered adequate and effective.		
Nuclear Filter Technology-Engineered Products Division (NFT-EPD)	S-15-02	11/04 – 11/06/15	Evaluated NFT-EPD compliance with the Statement of Work from Purchase Order 501654 for performing the required maintenance of TRUPACT-II, TRUPACT-III, HalfPACT, and RH-TRU 72-B items.	S	S	S
				The surveillance team determined that NFT-EPD compliance with the Statement of Work from Purchase Order 501654 is adequate, satisfactorily implemented, and effective.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
Portage, Inc.	S-14-31	05/21/14 – 06/03/14	Performed software QA review for aspects of the development and internal testing of the ICE system.	S	S	S
				The surveillance team concluded that the aspects of development and internal testing of the ICE system are adequate, satisfactorily implemented, and effective.		
Portage, Inc.	S-16-37	05/10 – 05/13/16 05/16 – 05/18/16 05/25 – 05/27/16 06/01/16	Evaluated the applicable elements of the Portage, Inc. QA program as they relate to the administration of the CBFO PDP and for the SQA controls applied by Portage, Inc. for the CBFO ICE system.	S	S	S
				The surveillance team determined that the applicable requirements for the PDP and SQA Programs are satisfactorily implemented and effective. Four CARs (16-046, 16-047, 16-049, and 16-50) were issued from the results of this surveillance.		
SM Stoller Records	S-13-30	08/13 – 08/14/13	Evaluated the implementation and effectiveness of the WIPP Records Management Services process performed by S. M. Stoller Corporation for Washington TRU Solutions, LLC.	S	S	S
				The surveillance team determined that WIPP Record Management Services activities were satisfactorily implemented, adequate, and effective.		
Visionary Solutions, LLC (VS)	A-14-24	09/09 – 09/11/14	Evaluated the implementation and effectiveness of VS compliance with the DOE Contract and upper-tier requirement documents.	S	S	S
				The audit team concluded that VS has satisfactorily implemented the requirements of the DOE Contract and DOT regulatory requirements. Implementation of regulatory and contractual requirements was considered adequate and effective.		
VS	A-15-30	09/22 – 09/23/15	Evaluated the implementation and effectiveness of VS compliance with the DOE Contract and upper-tier requirement documents.	S	S	S
				The audit team concluded that VS has satisfactorily implemented the requirements of the DOE Contract and DOT regulatory requirements. Implementation of regulatory and contractual requirements was considered adequate and effective.		

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Organization Assessed	Assessment Number	Assessment Dates	Scope of Assessments	Adequacy	Implementation	Effectiveness
VS	A-16-21	09/13 – 09/14/16	Evaluated the implementation and effectiveness of VS compliance with the DOE Contract and upper-tier requirement documents.	S	S	S
				The audit team concluded that VS has satisfactorily implemented the requirements of the DOE Contract and DOT regulatory requirements. Implementation of regulatory and contractual requirements was considered adequate and effective.		
VS	S-13-12	05/21 – 05/22/13	Reviewed and evaluated the implementation and effectiveness of VS compliance with the DOE Contract and upper-tier requirement documents.	S	S	S
				The surveillance team concluded that VS has satisfactorily implemented the requirements of the DOE Contract and DOT regulatory requirements. Implementation of regulatory and contractual requirements was considered adequate and effective.		

## AUD-2.0 References

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

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