

United States Government

Department of Energy

memorandum

Carlsbad Field Office
Carlsbad, New Mexico 88221

DATE: October 25, 2001

REPLY TO
ATTN OF: CBFO:QA:TJR:KJB: 01-1491 UFC 2300

SUBJECT: Audit (A-02-02) of the Westinghouse TRU Solutions (WTS), Software Control

to: John R. Bennett, Manager of Assurance Programs, WTS

Please be advised that a team of auditors from the Carlsbad Field Office will conduct the subject audit at the WIPP Site on November 26-29, 2001. The audit will be conducted in accordance with the attached audit plan. Observers from the EPA, EEG and other interested parties may also accompany the audit team. The checklists for the audit will be transmitted to your representative prior to the audit.

I will be the CBFO Management Representative for this audit and Mr. Norman Frank, CTAC, will be the audit team leader. The audit team member will be K. Dunbar of CTAC.

Initial arrangements for this audit have been coordinated through Ms. Kathy Hernandez, WTS.

You are requested to provide the resources necessary to coordinate with the audit team, provide cognizant personnel to support the audit, arrange for appropriate space to conduct meetings, and provide the audit team with access to appropriate documentation and records.

If you have any questions concerning the audit, please contact me at (505) 234-7311 or Norman Frank at (505) 234-7178.

/s/ signature on file

Thomas J. Reese
Acting Quality Assurance Manager

Attachment

011019.2



cc w/attachment:

L. Chism, CBFO	
M. Eagle, EPA	*ED
M. Gerle, WTS Operating Record	
T. Harms, DOE-HQ	*ED
S. Monroe, EPA	*ED
S. Zappe, NMED	*ED
B. Walker, EEG	*ED
K. Watson, CBFO	*ED
D. Winters, DNFSB	*ED
T. Bowden, CTAC	

*ED Denotes Electronic Distribution

**CARLSBAD FIELD OFFICE
AUDIT PLAN**

Audit Number: CBFO A-02-02

Organization: Westinghouse TRU Solutions (WTS)

Date and Location of Audit: November 26-29, 2001
Waste Isolation Pilot Plant, Carlsbad, NM

Audit Team: Norman Frank Audit Team Leader, CTAC
Kathi Dunbar Auditor, CTAC

Audit Scope:

The audit will verify WTS continued implementation of the quality assurance requirements defined in the CBFO and WTS Quality Assurance Program Descriptions (QAPDs), Section 6, and applicable implementing procedures. The audit will also evaluate the continued adequacy of WTS implementing procedures and implementation effectiveness within the selected quality assurance requirements.

Activities to be Audited:

Implementation of the following quality elements and supporting plans, procedures, and instructions will be audited:

CBFO QAPD SECTION 6 - SOFTWARE REQUIREMENTS

- 6.1 General
- 6.2 Applicability
 - 6.2.1 Inventory And Classification Of Software
 - 6.2.2 Software Quality Assurance
- 6.3 Software Procurement
- 6.4 Software Developed Under Other QA Programs
- 6.5 Software Development And Life Cycle
- 6.6 Software Verification And Validation
- 6.7 Software Configuration Management
- 6.8 Documentation
- 6.9 Problem Reporting And Corrective Action

Referenced sections will also be audited, as applicable to the scope of the audit.

Governing Documents/Requirements:

The overall program adequacy of WTS specific documents will be based on the following documents:

- CBFO Quality Assurance Program Document (QAPD), CAO-94-1012, Current Revision
- WID Quality Assurance Program Description, WP 13-1, Current Revision

Checklists will be developed from the active revision of the following documents:

- Quality Assurance Program Document (QAPD), CAO-94-1012, Current Revision

Schedule of Audit Activities:

Only one audit team will be fielded. This team will, for the most part, remain together. On occasion the team will split up to audit different groups on narrow subjects.

A preaudit meeting is scheduled for Monday, November 26th, at 8:30 a.m. at a designated location at the WIPP site.

The audit will begin immediately after the preaudit meeting, and continue daily from approximately 7:30 am to 4:00 pm. If the hours are not convenient to WTS, the auditors will adjust their starting and ending times appropriately. Lunch breaks will be taken at the normal time of the WTS group being audited at mid-day.

As necessary, a management briefing will be held Tuesday through Thursday, November 27-29, at 8:30 a.m. at the designated location at the WIPP site. Please restrict these meetings to the few people who are directly involved.

A daily audit team caucus meeting will be held Monday through Wednesday, November 26-28, at 4:00 p.m. to evaluate audit progress, concerns, and logistics.

A postaudit meeting will be held Thursday, November 29, at 2:00 p.m. at a designated location at the WIPP site.

Prepared by: */s/ signature on file* **Date:** 10-22-01
Norman C. Frank, CTAC
Audit Team Leader

Concurrence: */s/ signature on file* **Date:** 10-22-01
Thomas J. Reese, Acting QA Manager
CBFO Quality Assurance