



Department of Energy
Carlsbad Field Office
P. O. Box 3090
Carlsbad, New Mexico 88221

 ENTERED

JUN 2 2011



Mr. D. K. Ploetz, Manager
Central Characterization Project
Washington TRU Solutions, LLC
P.O. Box 2078
Carlsbad, NM 88221-2078

Subject: Verification and Acceptance of Corrective Actions for CAR 11-021 from Audit A-11-06, Central Characterization Project Quality Assurance Audit

Dear Mr. Ploetz:

Enclosed are the results of the Carlsbad Field Office (CBFO) review and verification of completion of the corrective actions associated with CBFO Corrective Action Report (CAR) 11-021 which resulted from Audit A-11-06. The results of the verification are documented on the enclosed CAR Continuation Sheet, which indicate that the documentation of completion of corrective actions is acceptable.

The verification concluded that the associated corrective actions have been fulfilled and are satisfactorily implemented. Therefore, CAR 11-021 is considered closed.

If you have any questions, please contact me at (575) 234-7491.

Sincerely,

Dennis S. Miehl
Senior Quality Assurance Specialist

Enclosure

110602



Mr. D. K. Ploetz

-2-

JUN 2 2011

cc: w/enclosure
R. Unger, CBFO * ED
J. R. Stroble, CBFO ED
D. Miehl, CBFO ED
M. Navarrete, CBFO ED
N. Castaneda, CBFO ED
C. Fesmire, CBFO ED
D. Haar, WTS/CCP ED
V. Cannon, WTS/CCP ED
A. J. Fisher, WTS/CCP ED
M. Walker, WTS/CCP ED
Y. Salmon, WTS/CCP ED
J. Hoff, WTS ED
M. Mullins, WTS ED
T. Peake, EPA ED
M. Eagle, EPA ED
E. Feltcorn, EPA ED
S. Ghose, EPA ED
R. Joglekar, EPA ED
R. Lee, EPA ED
J. Kieling, NMED ED
T. Hall, NMED ED
S. Holmes, NMED ED
T. Kesterson, DOE OB WIPP NMED ED
D. Winters, DNFSB ED
P. Gilbert, LANL-CO ED
G. Lyshik, LANL-CO ED
P. Hinojos, CTAC ED
G. White, CTAC ED
P.Y. Martinez, CTAC ED
WIPP Operating Record ED
CBFO QA File
CBFO M&RC

*ED denotes electronic distribution

CBFO Form 3.1-2

CAR CONTINUATION SHEET

1. CAR No: 11-021	2. Activity No: A-11-06	3. Page <u>1</u> of <u>3</u>
-------------------	-------------------------	------------------------------

Block # 17 Acceptance of Corrective Action Completion:

An evaluation was performed of the completion of corrective actions related to Carlsbad Field Office (CBFO) Corrective Action Report (CAR) 11-021. The notification of completion of corrective actions was submitted via letter CP:11:01328 dated May 16, 2011, from D. K. Ploetz, Central Characterization Project (CCP) Retrieval, Characterization, and Transportation Manager, to Mr. Dennis S. Miehl, CBFO Senior Quality Assurance Specialist. The methods used in verifying completion of each corrective action, as detailed in the approved corrective action plan (CAP), are described below.

Italicized text, taken verbatim from the CAP, is used to show the correlation between the corrective action and the method used for verification.

REMEDIAL ACTIONS

a) CCP has reviewed the SCOs that support active P-TS functions that were not transitioned to the new Integrated Data Center (IDC), and there were no cases where the identified Functional Requirements were mismatched with the testing documentation.

Verification:

The audit team met with CCP personnel and verified that 12 SCOs that supported the P-TS functions, which were not transitioned to the new Integrated Data Center (IDC), were reviewed and found to have no cases where the identified Functional Requirements were mismatched with the testing documentation. A copy of the documentation reporting completion of the review and the SCO numbers that were identified was sent in as supporting closure documentation.

b) CCP also performed a review of these same (active P-TS) SCOs for any other cases where Regression Testing was called for, but not performed: there were no such cases. One of the SCOs did correctly call for Regression Testing, and it was performed as required.

Verification:

The audit team met with CCP personnel and verified through review of the supporting documentation that a review of the same 12 SCOs (active P-TS) for any other case where Regression Testing was called for, but not performed. A copy of the documentation reporting completion of the review and the SCO numbers that were identified was sent in as supporting closure documentation.

The audit team determined that the remedial actions performed are adequate to address and resolve the CAR condition.

INVESTIGATIVE ACTIONS

There is no objective evidence (OE) provided that all the functional requirements for Software Change Order (SCO) #1102 (P-75 candidate/supplemental listing module) have been tested.

There is no objective evidence (OE) provided that all the functional requirements for Software Change Order (SCO) #1091 (RL AK module) have been tested.

SCO #1091, Attachment 2, block 15 defines that regression testing be performed, but again there is no OE.

There is a loss of traceability between the requirements documentation in Section 3.0, which identifies 15 requirements, and the Design Documentation in Section 7.0 for SCO #1091 (RL-AK module, which lists only seven).

CBFO Form 3.1-2

CAR CONTINUATION SHEET

1. CAR No: 11-021

2. Activity No: A-11-06

3. Page 2 of 3.

Verification:

The audit team reviewed the supporting documentation and, based on its reviews done under the remedial actions section, found these actions acceptable

The audit team determined that the investigative actions performed are adequate to address and resolve the CAR condition.

ROOT CAUSE DETERMINATION

Both SCOs cited in the CAR were developed at a time when CCP was preparing for the first certification audit of the CCP program at the Hanford site; the audit was conducted in April 2010. Both modules were required to support CCP activities necessary for the audit, and the documentation was requested on an expedited basis. In order to save time, the developers made use of existing documentation packages and edited them as necessary to reflect the scope of the newly-assigned modules.

The pace of development resulted in incomplete clean-up of the existing templates; some content that should have been removed during editing of the existing templates was inadvertently left in the SCO documentation. . . . The root cause is inattention to detail because of the expedited nature of document preparation.

Verification:

During the CCP investigation, the developers of the SCO packages recommended that CCP-QP-022 be evaluated and clarified to better define the content and format of Design Documents and Requirements Documents.

The audit team determined that the root cause determination actions performed are adequate to address and resolve the CAR condition.

ACTIONS TO PRECLUDE RECURRENCE

a) The CCP Manager will issue a memorandum to CCP personnel, identifying management expectations for the accomplishment of work

b) CCP will review CCP-OP-022 for possible improvements in the way that the content and format of Design Documents and Requirements Documents are defined

Verification:

The actions to preclude recurrence included a copy of memorandum CCP:11:01326, identifying management expectations for the accomplishment of work, and Standing Order CCP-SO-076, Revision 0, Clarification of CCP-QP-022 (Requirements versus Design Documents). This Standing Order will remain in effect until CCP-QP-022 is revised to incorporate its content.

The audit team determined that the actions to preclude recurrence are adequate to address and resolve future occurrences related to the CAR condition.

CBFO Form 3.1-2

CAR CONTINUATION SHEET

1. CAR No: 11-021	2. Activity No: A-11-06	3. Page <u>3</u> of <u>3</u>
-------------------	-------------------------	------------------------------

CONCLUSION

Based on the review of the completion documentation submitted, it has been determined that the remedial, investigative, root cause determination, and actions to prevent recurrence of the CAR condition have been satisfactorily implemented. Therefore, it is recommended that CAR 11-021 be considered closed.

VERIFICATION PERFORMED BY:

Priscilla Y. Martinez
Priscilla Y. Martinez, Quality Assurance Auditor
Carlsbad Field Office
Technical Assistance Contractor

5-26-11
Date