



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

MAR 15 2011



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

Subject: Issuance of CARs 11-019 and 11-020 from Audit A-11-06 of the Central Characterization Project Quality Assurance Program

Dear Mr. Ploetz:

The Carlsbad Field Office (CBFO) performed Audit A-11-06 of the Central Characterization Project Quality Assurance Program activities on March 1-3, 2011. The resulting CBFO Corrective Action Reports (CARs) 11-019 and 11-020 are enclosed.

Please provide CBFO with your proposed corrective actions and schedules for completion, forwarded to me prior to the response due dates identified in Block 14 of each of the CARs.

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

Sincerely,

Dennis S. Miehl
 Senior Quality Assurance Specialist

Enclosure

cc: w/enclosure

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



CBFO Form 3.1-1

CORRECTIVE ACTION REPORT

1. CAR No.: 11-019	2. Activity Report No.: A-11-06	3. Page 1 of 1
4. Controlling document: CCP-QP-022, Rev. 22, CCP Software Quality Assurance Plan	5. CBFO Assessment Team Leader: Dennis Miehls	
6. Responsible organization: CCP	7. CAQ was discussed with: Nick Roberts, Scott Burns	
8. Requirement that was violated: CCP-QP-022, Rev. 12, CCP Software Quality Assurance Plan: Section 1.16 (1 st paragraph, 4 th sentence), "Functionality testing is required if new features are added.....". Section 1.14, page 13, "... and the methods employed to ensure traceability of the requirements to final validation of the software". Section 1.14, page 12, "The software requirements shall, as applicable, address the following:", and page 13, "Traceability to the requirements".		
9. Condition Adverse to Quality (CAQ): There is no objective evidence (OE) provided that all the functional requirements for Software Change Order (SCO) #1102 (P-75 candidate/supplemental listing module) and SCO #1091 (RL AK module) have been tested. In addition, 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 only lists seven.		
10. Suggested actions (Optional):		
11a. Significant CAQ? (If 'Yes', go to block 15b) Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> 11b. Work Suspension recommended? (If 'Yes', go to block 15b) Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> 11c. RCRA related? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> 11d. Accelerated corrective action required? (If 'Yes', go to block 15b) Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> 11e. Does this CAQ affect waste streams BNINW216 or BNIN218? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	12. Type of actions required: Remedial? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Investigative? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Root Cause Determination? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Actions to Preclude Recurrence? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	
13a. Trend Code: SW05	13b. CAR Initiator: <u>Priscilla & Mustang 20</u> (printed name) Mario Chavez	Date: 3-15-11
14a. Response due date: 4/5/11		
14b. Required corrective action completion date: N/A		
15. Concurrence:		
a. Assessment Team Leader: <u>Dennis S. Miehls</u> (printed name) Dennis S. Miehls	Date: 3-15-11	
b. CBFO Quality Assurance Director (if SCAQ, work suspension, or accelerated corrective action, sign here; otherwise, mark as N/A): N/A (printed name)	Date:	
16. Acceptance of Proposed Corrective Actions: _____ (printed name)		
17. Acceptance of Corrective Action Completion: _____ (printed name)		
18. Closure: _____ (printed name)		

CBFO Form 3.1-1

CORRECTIVE ACTION REPORT

1. CAR No.: 11-020	2. Activity Report No.: A-11-06	3. Page 1 of 1
4. Controlling document: CCP-QP-010, Rev. 21, <i>CCP Document Preparation, Approval, and Control</i> ; CCP-QP-008, Rev. 17, <i>CCP Records Management</i>	5. CBFO Assessment Team Leader: Dennis Miehls	
6. Responsible organization: CCP	7. CAQ was discussed with: Felicia Hinojos	
<p>8. Requirement that was violated: CCP-QP-010, Revision 21, <i>CCP Document Preparation, Approval, and Control</i>, section 5.1 states, "Records generated during the performance of this procedure are maintained as QA records in accordance with CCP-QP-008, <i>CCP Records Management</i>." CCP-QP-008, Revision 17, <i>CCP Records Management</i>, section 3.7.1 states, "CCP Personnel... Each individual who creates records must verify the record(s) are legible, accurate, and complete, appropriate to the work accomplished."</p>		
<p>9. Condition Adverse to Quality (CAQ): CCP Document Services records packages are not being completed in accordance with CCP-QP-008, <i>CCP Records Management</i>. Verification is not being done when creating records appropriate to the work accomplished.</p>		
10. Suggested actions (Optional):		
11a. Significant CAQ? (If 'Yes', go to block 15b) Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> 11b. Work Suspension recommended? (If 'Yes', go to block 15b) Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> 11c. RCRA related? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> 11d. Accelerated corrective action required? (If 'Yes', go to block 15b) Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> 11e. Does this CAQ affect waste streams BNINW216 or BNIN218? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		12. Type of actions required: Remedial? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Investigative? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Root Cause Determination? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Actions to Preclude Recurrence? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
13a. Trend Code: DC05	13b. CAR Initiator: <u>Pascella & Martin</u> Katie Martin <small>(printed name)</small>	Date: 3-15-11
14a. Response due date: 4/5/11		
14b. Required corrective action completion date: N/A		
15. Concurrence:		
a. Assessment Team Leader: <u>Dennis S. Miehls</u> <small>(printed name)</small> Dennis S. Miehls		Date: 3-15-11
b. CBFO Quality Assurance Director (if SCAQ, work suspension, or accelerated corrective action, sign here; otherwise, mark as N/A): N/A		Date:
16. Acceptance of Proposed Corrective Actions: _____ Date: _____ <small>(printed name)</small>		
17. Acceptance of Corrective Action Completion: _____ Date: _____ <small>(printed name)</small>		
18. Closure: _____ Date: _____ <small>(printed name)</small>		