



Conduct of Engineering Software Approval for Use Form (SWAU) Instructions with Example

GENERAL

These instructions are for completing the form and are not part of the completed form.

LANL personnel: Endeavor to use Chapter forms as-is and report issues and improvement ideas to the Chapter 21 POC. POC may authorize other methods equivalent to chapter forms in writing.

LANL subcontractors must use Chapter forms to satisfy Chapter requirements for SSC software. For Non-SSC software, subs may either use their own forms or integrate, adapt, and reformat the forms; either approach is acceptable so long as key functions, data, and approvals are retained.

HEADER

Field	Entry Information
Software Name	Enter the name of the software in the upper right hand corner of the header.
SWAU No.	The numbering scheme of this form follows that of the SRLM's document control/records management system. For software used in the operation of existing or new LANL facilities, use numbering scheme and process specified in AP-341-402 , <i>Engineering Document Management in Operating Facilities</i> .
Rev.	Enter the SWAU revision number. Initial issue is 0.

1.0 GENERAL INFORMATION

Field	Entry Information
1.1	Enter the name and revision number of the software.
1.2	Enter the technical area(s) where the software is used. If the software is used site wide enter "site wide".
1.3	Enter the facility number(s) where the software is used. If the software is used site wide enter "site wide".
1.4	Enter the facility (building) name(s) where the software is used. If used site wide enter "site wide".
1.5	Enter the software identification number (SWID). The SWID should be the same SWID as on the Form 2033 . SWIDs are obtained in accordance with AP-341-402 , <i>Engineering Document Management in Operating Facilities</i> .
1.6	For SSC software, enter the equipment identification number associated with the software per ESM Chapter 1, Section 200 (e.g., 03-0216-HVAC-BAS-1). For Non-SSC software, enter NA.
1.7	Provide why the software is needed (justification) and describe what the software does.
1.8	Indicate whether the software is SSC Software or non-SSC software by checking the appropriate box. Check only one box.
1.9	Indicate the highest management level (ML) associated with the software. Reference AP-341-502 . (ML-1 is the highest ML indication). If the software associated with multiple MLs, check the highest ML box. Check only one box.

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Field	Entry Information
1.10	Indicate whether the software is safety software or non-safety software by checking the appropriate box. Reference Form 2033 . If the software is used for both, check the Safety software box. Check only one box.

2.0 REVIEW AND APPROVAL

Field	Entry Information
2.1	<p>The SRLM reviews the SWAU request package (See SOFT-V&V) to ensure, satisfactory completion of V&V, applicable operational and maintenance (O&M) controls per SOFT-MAINT are in place, and the software is ready to be used in its intended environment.</p> <p>The SRLM attests that: (a) the SWAU requirements of ESM Chapter 21, <i>Software</i> have been satisfied; and (b) the software is ready to be used in its intended operating environment in accordance with approved operating and maintenance instructions and any limitations as described in Section 3. Enter the SRLM name, Z number if applicable, organization, signature, and date.</p> <p>Note: For assistance in determining the SRLM, see SOFT-GEN Appendix B: <i>SO and SRLM Decision Diagram for FAC-COE</i>.</p>

3.0 LIMITATIONS

Field	Entry Information
3.1	Enter any limitations associated with using the software either directly and/or through reference to other documents that define the limitations.

4.0 REVISIONS

Field	Entry Information
4.1	If the SWAU requires revision, then revise in accordance with the governing document control program. Enter the revision number, 1, 2, etc. as appropriate.
4.2	Enter the revision approval date.
4.3	Describe the change and why the change was made.

5.0 ATTACHMENTS

Field	Entry Information
5.1	Attach the SWAU request package and SRLM request package review documentation. Enter the attachment number(s). List and include other attachments as appropriate.
5.2	Enter the attachment date.
5.3	Enter the attachment title, including revision as appropriate.

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**Conduct of Engineering
Software Approval for Use Form (SWAU)
CBT Software Example**

SWAU No.: SWAU-03-2333-12345 Rev.: 1

1.0 GENERAL INFORMATION					
1.1 Software Name and Revision:	Combustible Material Tracker (CBT) Software, Revision 2.0				
1.2 TA Number(s):	03	1.3 Facility Number(s):	2332	1.4 Facility Name(s):	Nonproliferation Security Facility (NSF)
1.5 SWID	045	1.6 Equipment ID:	NA		
1.7 Software Intended Use:	The software is used as a tool to track combustible material.				
1.8 SSC Software/Non-SSC Software:	SSC <input type="checkbox"/> Non-SSC <input checked="" type="checkbox"/>				
1.9 Highest ML Associated With the Software	ML-1 <input type="checkbox"/> ML-2 <input type="checkbox"/> ML-3 <input checked="" type="checkbox"/> ML-4 <input type="checkbox"/>				
1.10 Software Type	Safety Software <input type="checkbox"/> Non-Safety Software <input checked="" type="checkbox"/>				
2.0 APPROVALS					
2.1 As the Software Responsible Line Manager (SRLM), I attest that the software approval for use requirements of ESM Chapter 21, <i>Software</i> have been satisfied and that the software is ready to be used in its intended operating environment in accordance with approved operating and maintenance instructions and any limitations as described in Section 3.					
Printed Name/Z No.: Pete Lopez/121987	Signature			Date 06/17/2015	
3.0 LIMITATIONS					
3.1 Limitations					
<ol style="list-style-type: none"> 1. As stated in SWUM-15-03-NSF-0010, <i>CBT Software User Manual</i> and AP-15-03-NSF-0007, <i>CBT Software Administrative Procedure</i>. 2. This SWAU is limited to employees and subcontractors working for LANL NEN Division. 					
4.0 REVISIONS					
4.1 Revision	4.2 Date	4.3 Change Description and Reason for Change			
0	07/20/2015	Original Issue, CBT Software, Revision (version) 1.0			
1	06/17/2016	Upgraded software to Revision 2.0; Revision 1.0 no longer supported.			
5.0 ATTACHMENTS					
5.1 Attachment No.	5.2 Attachment Date	5.3 Attachment Title			
A1	05/24/2016	CBT Software Revision 2.0 Request for Approval for Use Package, Revision 0			

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