GENERAL

This form is provided to promote the successful and consistent implementation of the software approval for use (SWAU) requirements of Engineering Standards Manual (ESM) STD-342-100, *Chapter 21, Software (Chapter 21).* The software owner (SO) is responsible for preparing this form with the approvals as required by Chapter 21.

SWAU indicates that the software requirements have been satisfied and the software is ready to be used in its intended operating environment including:

a. Required verification and validation (V&V) has been successfully completed.

b. Required use and maintenance processes are in place (e.g., personnel are trained and/or authorized; operations and maintenance (O&M) documents, configuration management, and access controls etc. are in place.).

c. As applicable, safety basis reviews have been performed (e.g., Unreviewed Safety Question (USQ) per PD110, *Safety Basis*).

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

If entering sensitive information (e.g., Unclassified Controlled Nuclear Information–UCNI), ensure proper Derivative Classifier/Reviewing Official reviews are performed and appropriate markings applied.

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 as shown in the example form (e.g., Software SWAU for CBT Software).
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, *Engineering Document Management in Operating Facilities*.
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".

Field	Entry Information
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. Keep SWID the same through minor revs, and most major revisions unless the major revision is so different that the SRLM wishes to get a new SWID. SWIDs are obtained in accordance with AP-341-402, *Engineering Document Management in Operating Facilities.*
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	Describe the intended use of the software (i.e., what the software does/how it will be used.)
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.
1.10	Enter the software designation (safety software, risk significant software (RS) or commercially controlled software (CC)). Enter only one designation.

2.0 REVIEW AND APPROVAL

Field	Entry Information
2.1	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. Ensure that interfaces with software systems, organizations and/or activities that the software is based on or otherwise has an interface with, are controlled such that unintended consequences with such systems/organizations do not occur (e.g., coordinate with cybersecurity personnel per PD210, *Cybersecurity Program* or CIO-P100, *Cyber Security Risk Management Plan*.) The SRLM attests that: (a) the SWAU requirements of ESM Chapter 21, *Software* 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. ***Note***: For assistance in determining the SRLM, see SOFT-GEN Appendix A: *SO and SRLM Decision Diagram.*

3.0 LIMITATIONS

Field	Entry Information
3.1	Describe the use/maintenance processes, associated limitations, access controls, etc. for using the software. Describe either directly and/or through reference to other documents (e.g., user manual, SWDS).

4.0 REVISIONS

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

5.0 ATTACHMENTS

Field	Entry Information
5.1	Attach the SWAU request package and as appropriate, SRLM request package review documentation (e.g., checklists, etc.). Enter the attachment number(s). List and include other attachments as appropriate.
5.2	Enter the attachment title.

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 ☐ Non-SSC ☒				
1.9 Assoc. Management Level (ML):	ML-1 ☐ ML-2 ☐ ML-3 ☒ ML-4 ☐				
1.10 Software Designation:	Risk Significant Software (RS)				

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, *Software* 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.:	Signature	Date
Pete Lopez/121987		06/17/2015

3.0 USE METHODS/LIMITATIONS

3.1 Use Methods/Limitations

1. As stated in SWUM-15-03-NSF-0010, *CBT Software User Manual* and AP-15-03-NSF-0007, *CBT Software Administrative Procedure.*
2. This SWAU is limited to employees and subcontractors working for LANL NEN Division.

4.0 REVISIONS

4.1 Revision No.	4.2 Date	4.3 Revision Description and Reason for Revision
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 Title
A1	CBT Software Revision 2.0 Request for Approval for Use Package, Revision 0

Sensitive Data