



Environmental Management Advisory Board

EM Quality Assurance Initiatives

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Briefing Topics



■ Background

- Secretary's Message
- Lagging Indicators
- Initial Programmatic Diagnostics

■ EM QA Initiatives

- Management and Organizational Focus
- QA Corporate Board
- Industry Partnership
- Oversight Program
- Federal QA Resource and Competencies
- Standard Review Plan



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Background/Issues



- In April, 2006, Secretary Bodman directed Departmental Elements to establish QA programs that
 - Adequately address Departmental requirements (DOE policies, Rules, and directives)
 - Correspond with the risk and hazards associated with the work being performed
- Lagging indicators suggesting a systemic weakness in the management system and work processes
 - Design, procurement, analysis, welding, inspections, testing, corrective actions, work planning and controls, etc.
- Field Assist Reviews revealed programmatic weaknesses in several of the key criteria
 - Organization, Design Control, Audits, SQA, Instructions Drawings and Procedures





Background/ Field Assist Reviews

REQUIREMENTS/CRITERIAS	CONTRACTOR RESULTS							
	Project 1	Project 2	Project 3	Project 3	Project 5	Project 6	Project 7	Project 8
1 Organization	RED	GREEN	GREEN	RED	YELLOW	RED	YELLOW	RED
2 Quality Assurance Program	YELLOW	GREEN	GREEN	RED	RED	RED	RED	RED
3 Design Control	YELLOW	YELLOW	RED	N/A	RED	YELLOW	RED	RED
4 Procurement Document Control	GREEN	GREEN	YELLOW	RED	YELLOW	YELLOW	N/A	RED
5 Instructions, Procedures, and Drawings	RED	GREEN	N/A	RED	YELLOW	YELLOW	YELLOW	N/A
6 Document Control	GREEN	GREEN	GREEN	GREEN	GREEN	GREEN	N/A	N/A
7 Control of Purchased Items and Services	GREEN	GREEN	YELLOW	RED	YELLOW	YELLOW	N/A	RED
8 Identification and Control of Items	GREEN	GREEN	N/A	N/A	N/A	N/A	N/A	N/A
9 Control of Special Processes	GREEN	GREEN	N/A	N/A	N/A	N/A	N/A	N/A
10 Inspection	GREEN	GREEN	GREEN	N/A	N/A	N/A	N/A	N/A
11 Test Control	GREEN	GREEN	RED	N/A	N/A	N/A	N/A	N/A
12 Control of Measuring and Test Equipment	GREEN	GREEN	N/A	N/A	N/A	N/A	N/A	N/A
13 Handling, Storage, and Shipping	GREEN	GREEN	N/A	N/A	N/A	N/A	N/A	N/A
14 Inspection, Test, and Operating Status	GREEN	GREEN	N/A	N/A	N/A	N/A	N/A	N/A
15 Control of Nonconforming Items	GREEN	GREEN	N/A	N/A	N/A	N/A	N/A	N/A
16 Corrective Action	GREEN	GREEN	GREEN	YELLOW	N/A	N/A	N/A	N/A
17 Quality Assurance Records	GREEN	GREEN	GREEN	RED	YELLOW	YELLOW	N/A	N/A
18 Audits	GREEN	GREEN	GREEN	GREEN	YELLOW	RED	YELLOW	RED
19 Software	YELLOW	YELLOW	RED	RED	YELLOW	YELLOW	GREEN	YELLOW

BLUE – Exceeds Requirements of ASME NQA-1, 2004
 GREEN – Meets Requirements of ASME NQA-1, 2004
 YELLOW – At Risk to not meeting Requirements of ASME NQA-1, 2004
 RED – Does not meet Requirements of ASME NQA-1, 2004
 N/A – Not Applicable or these areas were not evaluated



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QA Initiatives

Focal Areas

- Management/Organization
- Federal Resources
- Communication and Partnership
- Training and qualification
- Institutionalization of QA process
- Oversight

Actions

- Office of Standards and QA
- Corporate QA Framework/Flowdown
- Site QA Managers with Adequate Staff
- QA Corporate Board
- Community of Practice
- Centralized Training Platform
- QA System Evaluation Process and Annual Declaration Criteria
- Corporate Performance Metrics
- Comprehensive Audit Plan





Highlights of Major Initiatives: Centralized Training Platform or Academy

- Major goals:
 - Provide a consistent and systematic approach to training in basic QA competencies consistent with DOE Technical Qualification Standard in addition to meeting the requirements for Lead Auditor certification in accordance with NQA-1, 2004.
- Lack of available trained, qualified, and experienced QA personnel within EM
- First pilot class will be held in Carlsbad, New Mexico, in June 2008. Federal personnel only with subsequent courses open to contractors
- Phased approach: 700 Hours of training and mentoring
 - Phase I: Initial Classroom Training (40 hours)
 - Phase II: Hands-On Field Work and Initial Audits (Auditors-In-Training)
 - Phase III: Advanced Audits for Lead Auditor Candidates
 - Phase IV: Follow-up Coaching and Mentoring
- Desired result is to develop sufficient expertise among DOE staff to: 1) adequately maintain and oversee implementation of compliant and effective QA programs; and 2) develop consistency and standardization in interpreting and implementing QA requirements.





Highlights of Major Initiatives: EM QA Corporate Board

- Corporate Board established on March 1, 2008
- Charter and By-Laws approved at first meeting on March 13, 2008
- Mission: serve a leadership role overseeing the effectiveness of quality requirements and disseminating best practices and lessons learned.
- Membership: EM HQ, site, and contractor management
- Corporate Board actions:
 - Participants identified 20 top QA/QC issues or concerns
 - Participants pared list to 5 priority issues
- Highest priority issues for the field sites:
 - Requirements Flow Down (horizontally/vertically, feds/contractors)
 - Adequate NQA-1 Suppliers
 - Commercial Grade Dedication
 - Graded Approach Implementation
 - Federal Understanding of QA/Oversight (FPDs, IPTs) and Line Management Accountability
- EFCOG QA Task Team established to work closely with the Corporate Board





Standard Review Plan

- Project lessons learned to date, both successes and setbacks, highlight the need for more comprehensive, integrated, and standardized project reviews performed at critical decision points to ensure that DOE performance expectations are reflected clearly throughout the project life-cycle activities

- The SRP framework will provide HQ/Field staff the following:
 - Roles, Responsibilities, Accountabilities, and Authorities Clarification
 - Integrated and synergetic project reviews, including both DOE O 413.3 and other EM requirements
 - Safety, QA, engineering, and other technical considerations are adequately factored into all life-cycle phases of projects such that all risks are addressed
 - Expectations and review criteria are clearly conveyed to contractors
 - Lessons learned from field implementation incorporated in a timely manner





Standard Review Plan

- Planned Module Development for 2008:
 - Design Review 30% (Completed)
 - Construction Readiness (Completed)
 - Commissioning Plan
 - Design Review 60%
 - Management Self-Assessment
 - Safety Analysis Reports for Packaging Review (Completed)





Conclusions

- Timely integration of safety and quality into work is a critical path to successful completion our mission.
- EM is committed to complete the QA Initiatives and continuously improve the quality management system and disciplined and reliable operations.



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