Corporate Board Notes and Slides

Notes from EM Corporate QA Board Tele-Conference – February 22, 2010

General:

Attendance of voting board members was documented. All members were present or had a representative present on the call.

Previous 5 Focus Areas:

Dave Tuttel presented the proposed closeout of the previous 5 focus areas for the EM Corporate Board.

- Focus Area 1 (*Requirements Flow Down*) – Board voted to close the focus area (unanimous)

- Focus Area 2 (*Adequate NQA-1 Suppliers*) – Board voted to close the focus area (unanimous)

- Focus Area 3 (*CGI and Services Dedication*) – Board voted to close the focus area (unanimous)

- Focus Area 4 (*Graded Approach to QA*) –Discussion noted that the area as a whole may need more work in the future focus areas even though the procurement piece is ready to close out. The discussion also noted that the software from this item is available for use but is not a requirement. Based on the two discussion points noted, the board voted to close the focus area with respect to procurement. (unanimous)

- Focus Area 5 (*Line Mgt. Understanding of QA and Oversight*) – Discussion noted that the training has been developed and presented at least once, but there is a need to address the implementation of the training. Based on this discussion, the board voted to close the focus area (unanimous)

Focus areas 4 and 5 will be carried forward into the FY2010 focus areas given the discussion by the board members (noted previously).

Focus Areas for FY2010:

New proposed focus areas for FY2010 were presented by Tuttel and discussed by the board. Discussion included the need to provide a scope for each item and include development of a plan to tie EFCOG and EM together on the work. Norm Barker took the lead for the development of the plan.

Robert Brown requested that the graded use of QA programs for D&D activities be included in the new focus areas and the board agreed.

After the discussion, the decision was made to hold off on a vote at this time. The areas will be further developed to generate a good description/scope and associated details for each item will be provided to the board within the next two weeks. The board will then be asked to vote on the focus areas via email. The focus areas to be further defined will include:

- NQA-1 Suppliers

- Commercial Grade Dedication

- Design Quality (slide terminology should be changed to "benchmark" vs. "determine")

- Graded corrective action to DOE

- Grading QA programs for D&D

Notes from EM Corporate QA Board Tele-Conference – February 22, 2010

Approach for Remaining Focus Areas:

Robert Murray presented a proposed approach to divide the remaining focus areas into three categories: (1) areas to remove from the list; (2) areas to be addressed by EM-23; and (3) areas to be addressed by EFCOG/Site Offices. The proposed binning was modified to move Graded Corrective Action to DOE and Grading QA programs for D&D to the FY2010 focus areas. Otherwise, the proposed grouping was accepted.

- *Areas to Remove from the List* – Board voted to accept list (unanimous – note that Idaho had an evacuation and were not available for this vote)

- *Areas to be Addressed by EM-23* – Board voted to accept list with exception noted previously (unanimous – note that Idaho had an evacuation and were not available for this vote)

- *Areas to be Addressed by EFCOG/Site Offices* – Board did not vote on this list and asked that EM-23 and EFCOG work with the list to see what can be addressed by EFCOG, develop a better scope for each item, and determine if the Site Offices would be interested in working any of the items. This additional information and scoping will be completed by the next Corporate Board meeting.

Other Discussion:

Dr. Krahn gave a brief discussion/presentation on the status of QA for EM.

The board discussed the potential for changing the number and make-up of the corporate board meetings. Each representative expressed their opinions, with the consensus that two meetings should be held in person each year, with additional teleconferences in between the meetings. The idea of allowing deputy/assistant managers to be delegated authority to attend the Corporate Board meetings in lieu of the managers was also discussed (for at least one of the two meetings held in person). This idea was widely supported; however, given that some of the managers were not present, the decision will be made via email. An additional observation centered on attempting to coordinate Corporate QA Board meetings with other scheduled meetings such as the ISMS conference. This comment was noted for future scheduling.

A closing request was made to address changes to 414 in an upcoming meeting. HSS will be contacted to request a presentation to the QA Board concerning changes that are coming in the 414 revision.
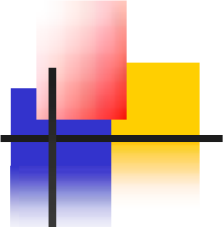
Project Focus Area Close-Out

Energy Facility Contractors Group

EM M *Environmental Management*

safety ❖ performance ❖ cleanup ❖ closure

www.em.doe.gov

EM QA Corporate Board Meeting
Las Vegas, Nevada
February 9, 2010

Project Area 1
Requirements Flow Down

- Overview
  - Appropriate Technical & Quality Requirements Specified
  - QA Organization included in the Decision Process
  - Clear Acceptance/Inspection Criteria
  - Requirements Flowed Down to Suppliers and Sub-tier Suppliers

- Key Deliverables
  - Questionnaire – Commercial and EM Contractors
  - Analysis of Data
  - Decision Tree Flow Diagram
  - White Paper (joint effort with Project Area 4)

Project Area 2
Adequate NQA-1 Suppliers

- Overview
  - Difficulty Fining Adequate NQA-1 Suppliers
  - Contractors Duplicating Supplier Audits and Adding Cost
  - Suppliers Not Trained and Qualified to Common Criteria based upon National Standards

- Key Deliverables
  - Report on Feasibility of using a Consolidated Qualified Supplier List
  - Conduct Nuclear Supplier Day Meeting
  - Evaluate "Buy American Act" clause
  - Evaluate EM Joint Audit Process
  - Formal Alert Process
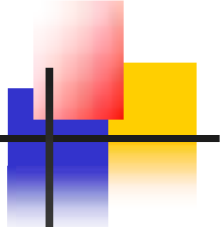 - Plan for EM and EFCOG Joint Evaluation Program

Project Area 3
CGI and Services Dedication

- Overview

  - CGD versus Use of a Qualified Supplier
  - Lack of Qualified Suppliers
  - Inconsistent Application across the Complex
  - Drive Complex Wide Consistency and Standardization

Key Deliverables

  - Survey and Benchmark Commercial Nuclear and EM Programs
  - Baseline Requirements and Guidance for an Effective CGD Program
  - Training Package
  - Provide Training to Site Personnel

Project Area 4
Graded Approach to QA

- Overview
  - Graded Approach to QA Not Consistently Applied
  - Need for a Common Understanding of Why Policy Allows Grading and How Grading Can Be Accomplished
  - Graded Approach (Engineering, Procurement, Inspection, etc.)
  - Revised Plan to Focus on Graded Approach for Procurement

- Key Deliverables
  - Position Paper on Procurement Graded Approach
  - Examples of Successful Application of the Graded Approach
  - Risk Assessment Tool

Project Area 5
Line Mgt. Understanding of QA and Oversight

- Overview
  - Understand EM Mission and its Strategic Goals and Objectives
  - Define the Importance of QA to Each Organization
  - Exhibit EM Values
  - Exhibit Management Commitment, Ownership, and Accountability for the EM QA Program

- Key Deliverables
  - EM QA Program
  - Indoctrination and Training Modules
  - Assessment Expectations

Positive Outcomes

- Numerous Joint Audits Completed
- CGD Training Package & Training
- QA Training at EM-50 FPD Workshops
- EM QA Alert Process
- Significant Heighted Attention and Awareness of QA
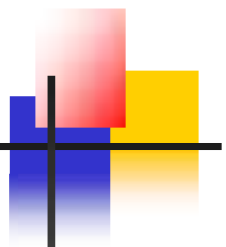
Questions & Comments

?

Potential Focus Areas for 2010

Energy Facility Contractors Group

Rich Campbell
EM QA Corporate Board Meeting
Las Vegas, NV
February 9, 2010

E_M *Environmental Management*
safety ❖ performance ❖ cleanup ❖ closure

www.em.doe.gov
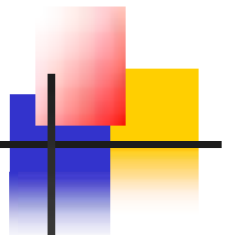
Potential Focus Areas for 2010

- Background

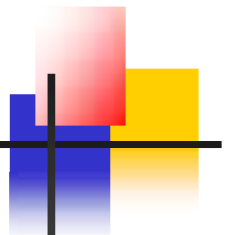- Potential areas include re-defining scope of two 2009 focus areas and developing one new focus area

- These areas were discussed briefly at last EM QA Corporate Board Meeting and were better defined during conference calls late in 2009.

NQA-1 Suppliers

- Scope of new focus area includes:
  - Monitor implementation of the Supplier Evaluation Program as approved by the Board in 2009.
  - Obtain funds and resources approved by Board and implement Supplier Information Database
  - Develop actions for increasing and maintaining a high level of participation by EM Contractor organizations in the Joint Supplier Evaluation Program

Commercial Grade Dedication

- Scope of new focus area includes:
  - Develop formal EM guidance
  - Monitor implementation of actions approved by the Board in 2009
  - Develop actions to continue to increase the number of qualified trainers.
  - Evaluate the development of a "common" Commercial Grade Dedication procedure for use across the EM complex
  - Develop actions to improve the self-assessments of Commercial Grade Dedication activities
  - Develop independent DOE testing and/or analysis capability to perform independent verification of critical characteristics

Design Quality

- Scope of new focus area includes:
  - Determine existing processing within EM complex for ensuring quality in design control functions
  - Develop best practices for consideration across EM complex
- Specifically evaluate:
  - Records required to adequately meet NQA-1 requirements
  - Flow down of engineering requirements
  - Inspection and test requirements and acceptance criteria
  - Design definition, communication and verification
  - Quality Assurance groups' role in design control
  - Configuration management

Status of Focus Areas

- 20 Focus Areas developed during the Corporate Board meeting in 2008

- 5 of the original focus areas have been closed out pending the Corporate Board vote today (one additional area was combined with these 5)

- EM-23 solicited additional feedback since it has now been 2 years since the original focus areas were developed

- Some issues remained the same, but additional areas were also identified

- Three proposed issues for the 2010 Corporate Board Focus Areas

  - NQA-1 Suppliers
  - Commercial Grade Dedication
  - Design Quality

EM **Environmental Management**
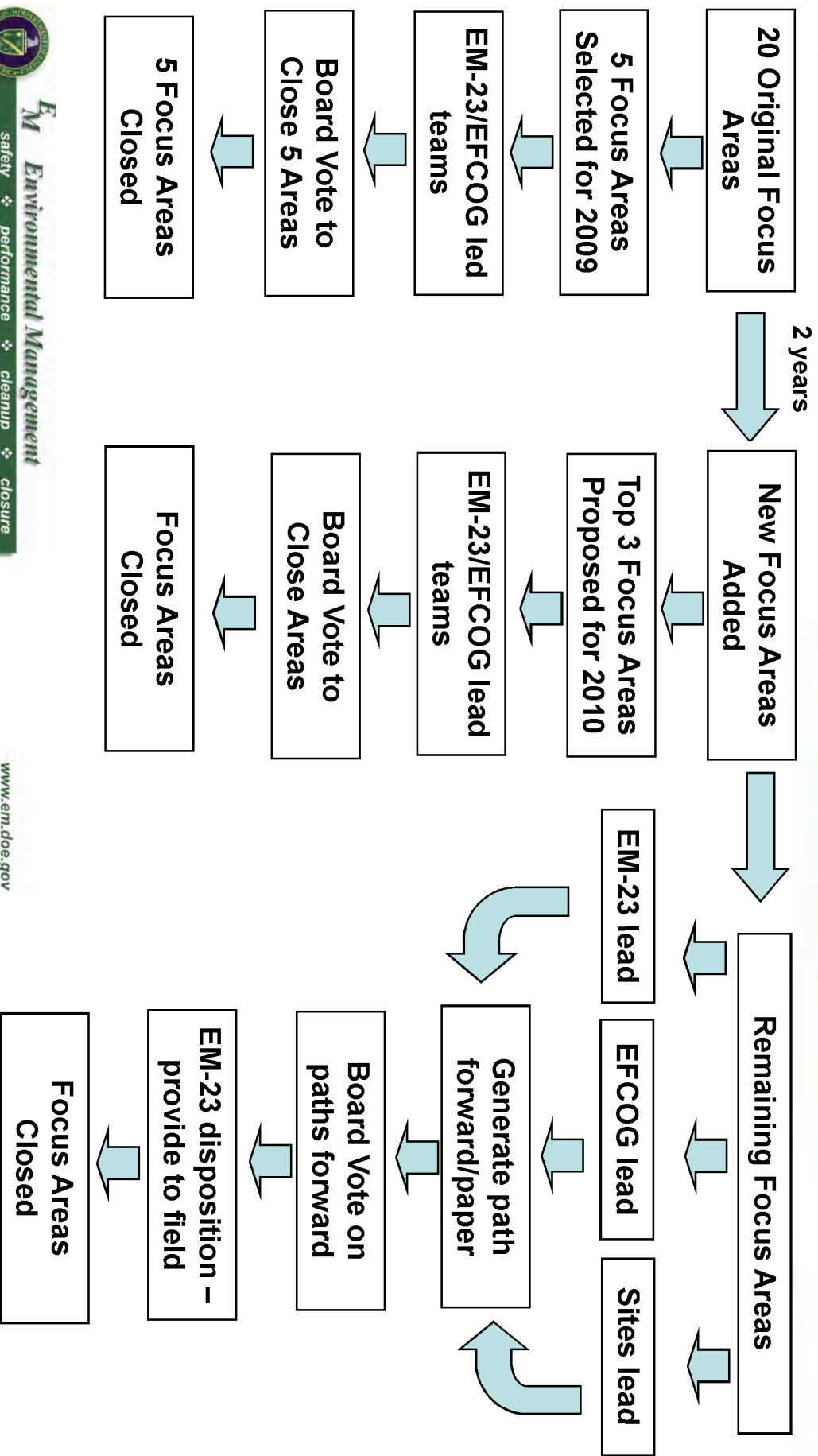safety ❖ performance ❖ cleanup ❖ closure

www.em.doe.gov

Proposed Path Forward for Board Consideration

- Focus Areas for 2010 will be investigated and developed similar to the previous year (EM-23 staff and EFCOG representatives lead the groups)

- Proposed path forward for remaining focus areas

  - Focus groups led by EFCOG representatives

  - EM-23 staff coordinate with groups and support EFCOG as needed

  - EFCOG generates a proposed path forward or "position paper" for the focus areas

  - Corporate Board approves the proposed path forward

  - EM-23 dispositions the focus areas by distribution of the paths forward to the field for implementation

Environmental Management
safety ❖ performance ❖ cleanup ❖ closure

Proposed Path Forward for Board Consideration

20 Original Focus Areas → **5 Focus Areas Selected for 2009** → **EM-23/EFCOG led teams** → **Board Vote to Close 5 Areas** → **5 Focus Areas Closed**

2 years

New Focus Areas Added → **Top 3 Focus Areas Proposed for 2010** → **EM-23/EFCOG lead teams** → **Board Vote to Close Areas** → **Focus Areas Closed**

Remaining Focus Areas → **EM-23 lead** / **EFCOG lead** / **Sites lead** → **Generate path forward/paper** → **Board Vote on paths forward** → **EM-23 disposition – provide to field** → **Focus Areas Closed**

EM **Environmental Management**
safety ❖ performance ❖ cleanup ❖ closure

www.em.doe.gov

Remaining Focus Areas

- Resources (Federal)

- Procedural compliance/execution

- FY10 budget impacts

- Science is moving to ISO 9000; how to address other QA programs

- Effectiveness of corrective actions regarding human performance

- Vendor issues

- Supplier Quality Assurance

- GFSI communications/interfaces/MOA

- Production pressures

- Consistent application/interpretations of regulations/requirements

- Inspector training/mentoring and understanding expectations

- Better coordination for reviews/audits

- Scope creep

- Identifying HQ requirements from memos and other correspondence beyond orders

- Improve understanding of expectations for safety software and software QA

- Applying graded corrective action to DOE

- Balancing inspection/field work control with HQ program audits and oversight

- Path forward for small contractors without rigorous NQA-1 programs

- QAP/QIP Implementation/Clear Roles

- Grading QA programs for D&D

- ORPS reporting of S/CI Program

- Overseas suppliers

Proposed Areas to Remove from List

- FY10 budget impacts

- Science is moving to ISO 9000 (*addressed in subpart 4.2*)

- GFSI communications/interfaces/MOA (*difficult for QA Corporate Board*)

- Production pressures (*difficult for QA Corporate Board*)

- Better coordination for reviews/audits (*being addressed by EM-1/2*)

- Scope creep (*addressed as part of code of record*)

- Graded corrective action to DOE (*addressed in previous focus area*)

- Grading QA programs for D&D (*addressed in previous focus area*)

E_M Environmental Management
safety ❖ performance ❖ cleanup ❖ closure

EM-23 Lead

- Resources (Federal)

- Identifying HQ requirements from memos and other correspondence beyond DOE orders

- Balancing inspection/field work control with HQ program audits and oversight reviews

- QAP/QIP Implementation/Clear Roles and Responsibilities

- ORPS reporting of S/CI Program

EFCOG/Site Offices Lead

- Procedural compliance/execution/conduct of operations

- Effectiveness of corrective actions regarding human performance

- Vendor issues

- Supplier Quality Assurance

- Consistent application/interpretations of regulations/requirements

- Inspector training/mentoring and understanding expectations

- Improve understanding of expectations for safety software/software QA

- Path forward for small contractors without rigorous NQA-1 programs

- Overseas suppliers

E_M *Environmental Management*
safety ❖ performance ❖ cleanup ❖ closure