

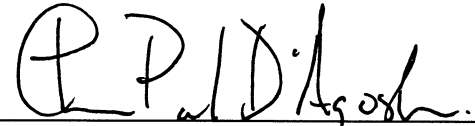


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## Roadmap for Nuclear Facility Quality Assurance Excellence

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DISTRIBUTION:  
All NNSA including M&O Contractors

Approved by:   
Acting Deputy Administrator  
for Defense Programs

# Roadmap for Nuclear Facility Quality Assurance Excellence

Integrated/Effective  
Infrastructure for  
Safety System and  
Safety Software QA

Processes

Programs

People

*Every  
Journey  
Needs a  
Plan and a  
Roadmap*



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**PEOPLE (The WHO – examples include roles and responsibilities, skills, knowledge, and culture)**

Desired End State	Covered By	Applicability	Present State	Gap	Champions
<p><b>1. Clear Roles and Responsibilities</b></p> <p>Roles and responsibilities must be well defined and consistently implemented. To be consistent, processes must be used to implement roles and responsibilities at each level of the organization.</p> <p>For the Federal Employees, this will be at the FRAM and QAP level. Contractors will have equivalent documentation describing roles, responsibilities, and authorities.</p> <p>The Federal Employees and contractors have developed and implemented mechanisms that clearly describe how roles and responsibilities are executed.</p> <p>The Federal Employees and contractors have developed and implemented processes for updating roles and responsibilities documents.</p>	2004-1 P450.4	Federal Employees/ Contractor	Roles and responsibilities are inconsistently defined and implemented. Implementing processes are either incomplete or non-existent.	Incomplete HQ and Site Office FRAMs and QAPs/Contractor QAPs, ISMSDs.	<p><b>Rabi Singh, NNSA/HQ (Federal lead)</b></p> <p><b>Tom Bargeloh, LANL (Contractor lead)</b></p> <p>Kathy Brack, BWXT Pantex</p> <p>Paul Chimah, NNSA SC</p>
	<b>Path Forward</b>				
	<ol style="list-style-type: none"> <li>1. Coordinate activities with 2004-1 implementation team and revise FRAMs, QAPs, ISMSDs and contractor roles and responsibilities documentation as needed.</li> <li>2. NA-10 provide direction for the development, review, approval, implementation, and assessment of federal and contractor roles and responsibilities documentation.</li> <li>3. Implement NA-10 direction regarding FRAMs, QAPs, and contractor roles and responsibilities documentation.</li> <li>4. Assess implementation of FRAMs, QAPs, and contractor roles and responsibilities documentation.</li> <li>5. Develop processes to update FRAMS, QAPs, and other documents containing roles and responsibilities.</li> </ol>				
	<b>Deliverables / Milestones</b>				<b>Schedule</b>
<p><u>Federal</u></p> <ol style="list-style-type: none"> <li>1. Initial Site Office FRAMs reviewed and feedback obtained.</li> <li>2. Revised NNSA HQ FRAM.</li> <li>3. Revised Site Office FRAMs.</li> <li>4. Approved NNSA QAP.</li> <li>5. Revised Site Office QAPs.</li> <li>6. Process developed for updating and integrating documents containing roles and responsibilities (FRAMs, QAPs, ISMSD).</li> <li>7. NNSA peer team verify implementation of HQ/Site Office FRAMs/QAPs.</li> </ol> <p><u>Contractor</u></p> <ol style="list-style-type: none"> <li>1. Survey industry standards for attributes of QA R2A2s.</li> <li>2. Draft good practices for R2A2s in QAPs, ISMSDs including process for updating these documents.</li> <li>3. Obtain workshop participants' comments.</li> <li>4. Provide survey to contractors to evaluate performance against good practices.</li> <li>5. Evaluate results of survey.</li> <li>6. Plan and implement actions, as necessary.</li> </ol>					

PEOPLE (The WHO – examples include roles and responsibilities, skills, knowledge, and culture)					
Desired End State	Covered By	Applicability	Present State	Gap	Champions
<p><b>2. Knowledgeable Feds and Contractors in QA and Safety</b></p> <p>A highly skilled and experienced staff with competence commensurate with responsibilities is mandatory for successful completion of mission goals.</p>	<p>DNFSB 2004-1, DNFSB 2002-1, Chiles Commission, Safety Analysis Working Group/ EFCOG, NNSA Safety Professional Career Development Program, CAIB DOE P450.4.</p>	<p>Federal Employees/ Contractor</p>	<ul style="list-style-type: none"> <li>• Human Capital Management concerns exist that require management attention to assure that future workforce is right-sized and right skilled to the current and future workload, facilities and operations.</li> <li>• Senior management needs to be better informed on the projection of requirements for future workloads, facilities and operations.</li> <li>• Lack of consistent implementation of Technical Qualification Program (TQP).</li> <li>• Lack of consistent graded approach to TQP.</li> <li>• Lack of equivalent TQP for contractors.</li> <li>• Lack of “value added”/performance based testing.</li> <li>• Lack of certified training or clearinghouse for training (what training programs actually meet NNSA requirements?).</li> </ul>	<p>Imbalance between numbers of workers and skill set required for the current and future workload, facilities and operations and current cadre of subject matter experts at Federal Offices and M&amp;O contractors.</p>	<p><b>Jim Mangeno, NNSA (Federal lead)</b></p> <p><b>John Palmer, LLNL (Contractor lead)</b></p>
<b>Path Forward</b>					
<ol style="list-style-type: none"> <li>1. Federal and contractor organizations establish processes to train/mentor replacement staff. Must include career planning. Develop the NNSA Safety Professional Career Development program consistent with the DOE Implementation of DNFSB Recommendation 2004-1 and Columbia Accident Investigation Board follow-up.</li> <li>2. Review progress on TQP, Staffing summit, Knowledge Preservation (93-6), Chile's Review, 5480.20A review. Incorporate results into NNSA QA Roadmap effort.</li> <li>3. Provide the NNSA Safety Professional Career Development program to EFCOG for potential application to contractor personnel.</li> <li>4. Revise FRAMs to include assignments for recruiting and mentoring qualified staff.</li> <li>5. Contractors establish programs for retention of corporate knowledge.</li> <li>6. Inform Site Offices and Service Center of gaps in training and qualification; then identify when gaps will be addressed.</li> <li>7. Identify NNSA and contractor staff-that-need QA/SQA training.</li> <li>8. Ensure commitments in DNFSB 2004-1 Implementation Plan are addressed (IP commitment #16, structured training).</li> </ol>					
<b>Deliverables / Milestones</b>					<b>Schedule</b>

<b>PEOPLE (The WHO – examples include roles and responsibilities, skills, knowledge, and culture)</b>		
	<u>Federal</u> 1. Identification of staff requiring SQA training and qualification (DNFSB 2002-1). 2. SQA initial training for NNSA employees has been provided (DNFSB 2002-1). 3. SQA qualification for required staff (DNFSB 2002-1). 4. Draft NNSA Safety Professional Career Development program, including QA elements, issued. 5. Status report on implementation of Technical Qualification Program for QA/Safety at Sites. 6. Verification that DNFSB 2004-1 Implementation Plan commitments have been addressed. 7. QA/Safety professional qualification program implemented.	Completed 11/04 Completed 5/04 6/05 8/05 9/06 TBD TBD
	<u>Contractor</u> 1. Proposal to EFCOG QA Subgroup on Training and Development Task Team to survey EFCOG members on qualification programs (begin with Quality Engineers, then expand to others). 2. Complete survey and report to Workshop. 3. Brief EFCOG on results. 4. Review current Site Requests for Proposals for knowledge retention and recommend changes.	Completed 4/05 8/05 11/05 12/05

PEOPLE (The WHO – examples include roles and responsibilities, skills, knowledge, and culture)									
Desired End State	Covered By	Applicability	Present State	Gap	Champions				
<p><b>3. Safety Culture</b></p> <p>A safety culture encourages technical inquisitiveness. It is engrained in the work force as a 24/7 lifestyle. It is a people system not a paper system.</p> <p>To be effective, management must be the example and personally affirm the standard for safety and quality. Accountability must be built into the system. The principle must be integrated into all training and processes, not an “add on.”</p> <p>The system must address both high consequence-low probability and low consequence-high probability events.</p> <p>A healthy safety culture should level to fewer safety and quality assurance discrepancies, a positive trend in safety/QA metrics, and trust that there will be no retribution against (and possibly rewards for) people who identify issues.</p>	DNFSB 2004-1, the CAIB, Davis-Besse incident.	Federal Employees/ Contractor	NNSA senior management needs to reinforce sustained safety improvement.	Lack of clear expectations for safety culture.	<p><b>Dick Crowe, NNSA (Federal lead)</b></p> <p><b>Chuck Moseley, BWXT Y12 (Contractor lead)</b></p> <p>Al MacDougall, SC</p>				
					<b>Path Forward</b>				
					<ol style="list-style-type: none"> <li>1. Direct implementation of CAIB safety culture recommendations.</li> <li>2. Develop a safety culture policy that is implemented at all levels with demonstrated and continuous safety attitude.</li> <li>3. Begin assessing safety culture and provide feedback for continuous improvement.</li> </ol>				
<b>Deliverables / Milestones</b>				<b>Schedule</b>					
<ol style="list-style-type: none"> <li>1. Safety Culture Policy and implementation plan.</li> <li>2. Safety culture assessments and feedback.</li> </ol>				<p>7/05 Beginning 7/06 and annually thereafter.</p>					

PROGRAMS (The WHAT – examples include resources, requirements and scope)					
Desired End State	Covered By	Applicability	Present State	Gap	Champions
<p><b>4. Clear requirements standards / guidance for QA</b></p> <p>(See Mile Marker 6)</p>	DNFSB 95-2 DOE P450.4	Federal Employees/ Contractor	Federal Employees and Contractors have inconsistent interpretations of DOE Orders and guidance.	Inconsistent applications exist.	<p><b>Paul Chimah, NNSA Service Center (Federal lead)</b></p> <p><b>Chuck Moseley, BWXT Y12 (Contractor lead)</b></p> <p>John Palmer, LLNL</p>
<b>Path Forward</b>					
<ol style="list-style-type: none"> <li>1. Issue survey to evaluate the quality of guidance, i.e., solicit feedback from complex on the guidance that exists or is needed.</li> <li>2. Depending on survey results, identify any new needed guidance or revisions to existing documents.</li> <li>3. Provide EH recommendations for revision to DOE O 414.1B/1C (draft) and guidance to clarify requirements for Feds and Contractors.</li> <li>4. During annual QAP review process, evaluate needed changes to guidance as appropriate.</li> </ol>					
<b>Deliverables / Milestones</b>				<b>Schedule</b>	
<ol style="list-style-type: none"> <li>1. QA survey issued by Nancy Day.</li> <li>2. Surveys returned.</li> <li>3. Survey results reviewed at NNSA QA Workshop.</li> <li>4. Need for additional guidance identified.</li> <li>5. Recommendations provided to EH for revisions to DOE O414.1B/414.1C (draft).</li> <li>6. Provide recommendations for revisions to directive system.</li> <li>7. Redesign and re-survey NNSA complex upon issuance of anticipated DOE requirements/guidance documents, e.g., DOE O414.1C, DOE Guides, QC-1 rev. 10.</li> <li>8. Evaluate results of survey and take appropriate action to include providing supplemental NNSA guidance.</li> <li>9. Annually review appropriate requirements, standards, and guidance.</li> </ol>				<p>Completed 11/04</p> <p>Completed 12/04</p> <p>Completed 12/04</p> <p>Completed 12/04</p> <p>Completed 1/05</p> <p>Completed 12/04</p> <p>8/05</p> <p>11/05</p> <p>Ongoing</p>	



**PROGRAMS (The WHAT – examples include resources, requirements and scope)**

Desired End State	Covered By	Applicability	Present State	Gap	Champions
<p><b>5. Clear requirements / standards and guidance for safety software QA</b></p> <p>(See Mile Marker 10)</p>	DNFSB 2002-1 DOE P450.4	Federal Employees/ Contractor	No DOE Order or guidance exists for SQA. Draft Order 414.1C and associated guide are in RevCom for review and comment.	Inconsistent results due to the lack of SQA requirements.	<p><b>Sherry Hardgrave, YSO (Federal lead)</b></p> <p><b>Debra Williams, BWXT Y12 (Contractor lead)</b></p> <p>Barbara Campbell, LLNL</p>
	<b>Path Forward</b>				
	<p>1. Complete the review of DOE Order 414.1C and Guide.</p> <p>2. Consider: Lessons learned from SQA assessments in the development of DOE Order 414.1C.</p> <p>3. Review other industry standards for applicability.</p>				
	<b>Deliverables / Milestones</b>			<b>Schedule</b>	
<p>1. DOE Order 414.1C review and comment.</p> <p>2. DOE Guide 414.1-4 SQA Guide review and comment.</p> <p>3. Technical objectives for software/SQA based on 10 CFR 830.</p> <p>4. SQA standards in NNSA Safety Software Quality Good Practices Handbook (see Mile Marker #10).</p>			<p>Completed 12/04</p> <p>Completed 12/04</p> <p>Completed 3/05</p> <p>8/05</p>		

**PROGRAMS (The WHAT – examples include resources, requirements and scope)**

Desired End State	Covered By	Applicability	Present State	Gap	Champions
<p><b>6. Incorporate QA requirements (rules, orders, etc.) in the contract</b></p> <p>(See Mile Marker 4)</p>	DNFSB 95-2	Federal Employees/ Contractor	All QA requirements not defined in the contract.	Lack of all QA requirements in contract.	<p><b>Nate Morley, NNSA SC (Federal lead)</b></p> <p><b>Keith Morrell, WSRC (Contractor lead)</b></p>
	<b>Path Forward</b>				
	<ol style="list-style-type: none"> <li>1. Survey sites for core set of QA source documents and requirements in the contract.</li> <li>2. Develop minimum core set of QA source documents and requirements based on survey results.</li> <li>3. NNSA HQ to provide clear QA expectations to the Site Offices based on survey results.</li> <li>4. Site Offices to provide clear QA expectations in contracts and annual performance objectives.</li> </ol>				
	<b>Deliverables / Milestones</b>			<b>Schedule</b>	
<ol style="list-style-type: none"> <li>1. Survey on QA contract requirements.</li> <li>2. Survey results to NNSA HQ.</li> <li>3. Results of analysis.</li> <li>4. Recommendation to NNSA HQ and input to Mile Marker #15 (Requirements, Standards, Guidance).</li> <li>5. Present survey results and determine path forward at next workshop.</li> </ol>			<p>Completed 11/04</p> <p>Completed 12/04</p> <p>Completed 2/05</p> <p>Completed 3/05</p> <p>8/05</p>		

**PROGRAMS (The WHAT – examples include resources, requirements and scope)**

Desired End State	Covered By	Applicability	Present State	Gap	Champions
<b>7. Balanced priorities (safety and quality, operations, and production)</b>	DNFSB 95-2 DOE P450.4	Federal Employees/ Contractor	The process for prioritizing and integrating safety and quality into operations and production planning decisions is not clearly defined. In particular, Program, Safety and Quality are not balanced in contract incentives.	NNSA decision-making processes address safety and quality incompletely or inconsistently.	<b>Walt Lips, NNSA HQ (Federal lead)</b>  <b>Larry Pendexter, LLNL (Contractor lead)</b>  <b>Dave Chaney, NNSA SC</b>
<b>Path Forward</b>					
1. Present Roadmap to NNSA Management Council to obtain endorsement. 2. Incorporate Roadmap deliverables into NNSA Program Guidance Milestones. 3. Incorporate NNSA Site Office/contractor progress reports on Roadmap Mile Markers in NNSA Quarterly Program Reviews. 4. Develop process to balance priorities. 5. Compile list of QA performance objectives and/or incentives in Site contracts. 6. Present to NNSA-HQ Contract Improvement Team. 7. NNSA (NA-10) provide annual expectations to Sites. 8. Incorporate in NNSA Corporate Performance Evaluation Process (CPEP) for M&O's.					
<b>Deliverables / Milestones</b>				<b>Schedule</b>	
1. NNSA Management Council endorsement of Roadmap. 2. Process to balance priorities. 3. Include Roadmap deliverables in NNSA Program Guide Milestones and CPEP. 4. Site Office/Contractor progress reports in Quarterly Program Reviews. 5. Review and Implement CPEP for 2005.				Completed 4/05  Completed (NAP-5), 4/05 Starting 7/05  Starting 7/05  7/05 – 9/05	

**PROGRAMS (The WHAT – examples include resources, requirements and scope)**

Desired End State	Covered By	Applicability	Present State	Gap	Champions
<b>8. Consistent flow down of QA requirements from NNSA to M&amp;O contractors to subcontractors and vendors</b>	DOE P450.4 DEAR clause ISM clause	Federal Employees/ Contractor	M&O contracts and subcontracts incompletely incorporate and flow down QA requirements.	Inadequate and/or inconsistent of requirements flow down.	<b>C.T. Shen, YSO (Federal lead)</b>  <b>Luis Soler, LLNL (Contractor lead)</b>  <b>Barbara Boyle, SNL</b>  <b>Frank Denny, BWXT Y12</b>
<b>Path Forward</b>					
1. Review the QAIP 3.3 assessments to see what they indicate about each site's QA procurement, design, construction documents to identify target areas for improvement. 2. Review the M&O contracting process for flow down of quality requirements.					
<b>Deliverables / Milestones</b>				<b>Schedule</b>	
1. Summary of identified weakness from QAIP 3.3 assessments presented to workshop. 2. Develop Summary Report and submit to R. Singh. 3. Review sample of prime contracts for QA flow down requirements for contractor and subcontractors. 4. Develop draft flow down criteria for procurement. 5. Present draft criteria/strategy at workshop. 6. Solicit review and comments. 7. Team meeting to develop roll out strategy. 8. Resolve comments and redraft criteria. 9. Present draft criteria and strategy for implementation to DNFSB. 10. Present draft criteria to NNSA senior management and solicit approval to go forward. 11. Implementation of criteria. 12. Peer review team verifies implementation. 13. Develop criteria for the flowdown of ISM DEAR clause requirements, if needed.				Completed 12/04  Completed 1/05 Completed 2/05  Completed 3/05 Completed 3/05 Completed 4/05 8/05 9/05 10/05  11/05  12/05 6/06 9/06	

**PROGRAMS (The WHAT – examples include resources, requirements and scope)**

Desired End State	Covered By	Applicability	Present State	Gap	Champions
<b>9. Integration of QA with ISM</b>	DNFSB 2004-1 DOE P450.4	Contractor	Not fully integrated at all sites.	Implementation at the program level has not flowed down to the work activity level.	<b>Mike Marelli, NSO (Federal lead)</b>  <b>Rick Kendall, NNSA</b>  <b>Barbara Boyle, SNL (Contractor lead)</b>  Craig Barnes, NTS Dave Torczon, LASO Paul Chimah, NNSA Svc. Ctr. Luis Soler, LLNL Mike Hillman, EH
<b>Path Forward</b>					
Priority focus is on nuclear (Cat 1, 2, 3 and <Cat 3) facilities safety system related work control. A review of the most successful processes will be performed to identify key principles and attributes. Special attention will be given to improve the integration of QA criteria into work planning and control associated with nuclear facility credited safety Structures, Systems, and Components. Lessons learned will be integrated into an NNSA guidance document.					
<b>Deliverables / Milestones</b>					<b>Schedule</b>
<ol style="list-style-type: none"> <li>1. Identify principles and attributes of an effective Work Planning and Control program that integrates ISM Core Functions, Principles, and QA criteria.</li> <li>2. Draft guide on work control for initial NNSA complex review.</li> <li>3. A completed guide that incorporates NNSA comments.</li> <li>4. Letter to Site Offices promulgating guide and HQ expectations.</li> <li>5. Site Office verification of contractor integration of QA with ISM.</li> </ol>					6/05  7/05 8/05 9/05 11/05 – 6/07

**PROGRAMS (The WHAT – examples include resources, requirements and scope)**

Desired End State	Covered By	Applicability	Present State	Gap	Champions
<p><b>10. Safety software quality assurance is institutionalized at each site</b></p> <p>(See Mile Marker 5)</p>	DNFSB 2002-1	Federal Employees/ Contractor	Software quality assurance is not institutionalized at all sites.	Sites are at varying stages of development and implementation.	<p><b>Sherry Hardgrave, YSO (Federal lead)</b></p> <p><b>Debra Williams, BWXT Y12 (Contractor lead)</b></p> <p>Keith Morrell, WSRC Barbara Campbell, LLNL Johnnie Nevarez, NNSA SC Dennis Adams, NNSA SC Cliff Ashley, RL/ORP Don Schilling, KCP</p>
<b>Path Forward</b>					
<ol style="list-style-type: none"> <li>1. Develop lessons learned from SQA assessments.</li> <li>2. Determine actions to improve SQA assessment process for inclusion into Handbook.</li> <li>3. Develop handbook on NNSA safety software quality.</li> <li>4. Review DOE SQA Guide and determine if NNSA comments on original CRADs were incorporated; if not, determine need for clarification in the Handbook.</li> <li>5. Develop training materials on Handbook and incorporate into Site training programs.</li> <li>6. Train NNSA Federal Employees and Contractors on Handbook.</li> <li>7. Assess Site programs for verification of implementation.</li> <li>8. Update Handbook annually, if needed, based on lessons learned.</li> </ol>					
<b>Deliverables / Milestones</b>					<b>Schedule</b>
<ol style="list-style-type: none"> <li>1. Lessons learned finalized at Aug. 2004 NNSA QA workshop.</li> <li>2. Develop NNSA Safety Software Quality Good Practices Handbook.</li> <li>3. NNSA Workshop Handbook Training Session.</li> <li>4. Assess Site programs for verification of implementation using peer review teams.</li> </ol>					<p>Completed 11/04 9/05</p> <p>11/05 1/06 – 6/06</p>

**PROGRAMS (The WHAT – examples include resources, requirements and scope)**

Desired End State	Covered By	Applicability	Present State	Gap	Champions																								
<p><b>11. Clear lists of Structures, Systems and Components (SSCs) / safety software</b></p> <p>(includes Design &amp; Analysis software as defined in SQAIP)</p>	<p>DNFSB 2002-1 2000-2</p>	<p>Contractor</p>	<p>All sites have not submitted safety software lists to HQ. Lists to be validated.</p>	<p>Incomplete and unvalidated lists of safety software.</p>	<p><b>Adeliza Cordis, LSO (Federal lead)</b></p> <p><b>Barbara Campbell, LLNL (Contractor lead)</b></p> <p>Rick Kendall, NNSA HQ</p> <p>Site POCs:</p> <table border="1"> <thead> <tr> <th>Site</th> <th>NNSA</th> <th>Contractor</th> </tr> </thead> <tbody> <tr> <td>SRS</td> <td>Zweifel</td> <td>Morrell</td> </tr> <tr> <td>LANL</td> <td>Keithhold</td> <td>Peterson</td> </tr> <tr> <td>SNL</td> <td>Hamilton</td> <td>Royce</td> </tr> <tr> <td>PX</td> <td>Baker</td> <td>Ward</td> </tr> <tr> <td>Y12</td> <td>Hardgrave</td> <td>Williams</td> </tr> <tr> <td>NV</td> <td>Sanchez</td> <td>French</td> </tr> <tr> <td>EM</td> <td>Ashley</td> <td></td> </tr> </tbody> </table>	Site	NNSA	Contractor	SRS	Zweifel	Morrell	LANL	Keithhold	Peterson	SNL	Hamilton	Royce	PX	Baker	Ward	Y12	Hardgrave	Williams	NV	Sanchez	French	EM	Ashley	
Site	NNSA	Contractor																											
SRS	Zweifel	Morrell																											
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Y12	Hardgrave	Williams																											
NV	Sanchez	French																											
EM	Ashley																												
<p><b>Path Forward</b></p>																													
<p>Complete the SSC/lists of safety software. Validate and address identified gaps.</p>																													
<p><b>Deliverables / Milestones</b></p>					<p><b>Schedule</b></p>																								
<ol style="list-style-type: none"> <li>Validated SSC list.</li> <li>Send out consolidated list of safety software and definitions (Barbara Campbell).</li> <li>Y-12 Validation process (examples by D. Williams/Y12 send 12/04).</li> <li>Each site contact reviews and responds.</li> <li>Apply definitions consistently (SQAIP definitions, SQAS meeting).</li> <li>Develop NNSA validation process.</li> <li>Validate consolidated list of safety software.</li> <li>Develop and implement process for configuration management of software lists.</li> </ol>					<p>Completed 9/04 Completed 12/04</p> <p>Completed 12/04 Completed 2/05 Completed 3/05 Completed 3/05 6/05 12/05</p>																								

PROCESSES (The HOW – examples include conduct of operations, corrective actions and implementation)					
Desired End State	Covered By	Applicability	Present State	Gap	Champions
12. Management assessments effectively self-identify QA issues	DNFSB 2002-1 2004-1	Contractor	Management assessments may not be identifying all significant issues.	Inconsistent rigor and comprehensiveness of self-assessments.	<b>C.T. Shen, YSO (Federal lead)</b>  <b>Vince Grosso, WSRC (Contractor lead)</b>  John Sanchez, NSO Sally Sullivan, BN Dave Torczon, LASO Greg Betzen, KC SO Vaughn Hooks, BWXT Y12 Luis Soler, LLNL
	<b>Path Forward</b>				
	<ol style="list-style-type: none"> <li>1. Develop/refine key attributes for effective contractor assessment mechanism and metrics.</li> <li>2. Obtain final team review and consensus on the key attributes.</li> <li>3. Develop Assessment Performance Baseline survey.</li> <li>4. Distribute survey to baseline site assessment mechanism/metrics against key attributes.</li> <li>5. Collect/analyze survey results. Determine baseline effectiveness against key attributes.</li> <li>6. Peer review team develops recommendations to improve site assessment mechanisms.</li> <li>7. Review recommendations with HQ sponsor, at next Workshop, then issue to Site Offices.</li> <li>8. Site Offices implement changes as appropriate.</li> <li>9. Conduct peer reviews to evaluate assessment effectiveness in identifying contractor QA issues.</li> </ol>				
<b>Deliverables / Milestones</b>					<b>Schedule</b>
<ol style="list-style-type: none"> <li>1. Presentation of Y12 model at December 2004 QA Workshop.</li> <li>2. Team formed to review model and develop best practices.</li> <li>3. Develop Key Attributes of an effective contractor assessment mechanism (based on INPO and NNSA metrics).</li> <li>4. Develop an Assessment Performance Baseline survey based on the Key Attributes.</li> <li>5. Distribute survey to contacts at each site to baseline their assessment mechanism and metrics against the key attributes.</li> <li>6. Analyze results of survey data to determine effectiveness of site contractor assessment mechanism against the key attributes.</li> <li>7. Develop and review improvement recommendations at next Workshop.</li> <li>8. Issue improvement recommendations for site contractor assessment mechanisms to each site.</li> <li>9. Site office and contractors determine changes/revisions to their site assessment mechanisms and implement improvements.</li> <li>10. Peer review team evaluates effectiveness of site assessment mechanism in identifying QA issues and reducing issues.</li> </ol>					Completed 12/04 Completed 12/04 6/05 7/05 8/05 9/05 10/05 10/05 3/06 6/06 12/06



<b>PROCESSES (The HOW – examples include conduct of operations, corrective actions and implementation)</b>					
<b>Desired End State</b>	<b>Covered By</b>	<b>Applicability</b>	<b>Present State</b>	<b>Gap</b>	<b>Champions</b>
<b>13. Timely and effective corrective action</b>		Federal Employees/ Contractor	Some corrective actions are ineffective and/or delayed.	Processes are inconsistent and management is unaware of delays and implementation difficulties.	<b>Greg Baker, PXSO (Federal lead)</b> <b>Vince Grosso, WSRC (Contractor lead)</b> Barbara Boyle, SSO Dave Torczon, LASO Shirley Wilson, BWXT Y12 Amy Arceo, BN Kathy Brack, BWXT Pantex
	<b>Path Forward</b>				
	1. Identify corrective action guidance documents (e.g. EFCOG white paper, others). 2. Sample Sites to identify good practices. 3. Analyze guidance documents and Site practices to determine good practices.				
<b>Deliverables / Milestones</b>				<b>Schedule</b>	
1. EFCOG white paper reviewed. 2. Site survey completed. 3. Draft NNSA expectations using INPO and EFCOG documents. 4. Present NNSA expectations for Corrective Action Process at next workshop. 5. NNSA HQ provide expectations to Site Offices and contractors based on good practices. 6. Peer review team evaluate effectiveness of corrective action program.				Completed 3/05 Completed 3/05 6/05 8/05 11/05 5/06	

<b>PROCESSES (The HOW – examples include conduct of operations, corrective actions and implementation)</b>					
<b>Desired End State</b>	<b>Covered By</b>	<b>Applicability</b>	<b>Present State</b>	<b>Gap</b>	<b>Champions</b>
<b>14. Sitewide integrated issues management system</b>	Dr. Beckner memo dated 11/23/04	Federal Employees/ Contractor	Tracking systems not integrated at all sites.	Not all sites have integrated processes.	<b>Rabi Singh, NNSA-HQ &amp; Diane McCarten, YSO (Federal leads)</b>  <b>Carol Burditt, BWXT Y12 (Contractor lead)</b>
	<b>Path Forward</b>				
	1. Develop and maintain an integrated issues management system.				
<b>Deliverables / Milestones</b>				<b>Schedule</b>	
1. YSO/BWXT Y12 presentation of concept at demo at 4th NNSA QA workshop.				Completed 8/04	
2. YSO/BWXT Y12 demo of their integrated system at HQ (See NNSA QA website for description of YSO/BWXT Y12 integrated system).				Completed 11/04	
3. NNSA Leadership Coalition presentation.				Completed 11/04	
4. Workshop at Y12 to develop implementation plan/action.				Completed 1/05	
5. Site Office implementation plans to NNSA.				Completed 1/05	
6. Review progress and lessons learned with Mile Marker #13 in a workshop during EFCOG meeting.				Completed 4/05	
7. Each Site Office and contractor has an integrated issues management system.				6/05	
8. Peer team verification of integrated issues management system.				12/05	

PROCESSES (The HOW – examples include conduct of operations, corrective actions and implementation)					
Desired End State	Covered By	Applicability	Present State	Gap	Champions
<b>15. Effective implementation of QA programs and procedures</b>  * Site POCs: <u>Site</u> <u>NNSA</u> <u>Contractor</u> SRS   Zweifel   Grosso LANL   Torczon   Bargeloh SNL   Dilley   Dickenson PX   Baker   Brack Y12   Glasman   Moseley LLNL   Osburn   Palmer KC   Betzen   Gillespie NV   Marelli   Barnes		Federal Employees/ Contractor	Inconsistent implementation of procedures for design, procurement, fabrication, construction, and operation.	Lack of effective implementation of procedures/ programs.	<b>Dan Osburn, LSO (Federal lead)</b>  <b>Vince Grosso, WSRC (Contractor lead)</b>  <b>(See *)</b>
	<b>Path Forward</b>				
	<p>This Mile Marker will evaluate the implementation of other Mile Markers as well as the effectiveness of QA implementation at NNSA Site Offices and Contractor sites. Before the effectiveness of QA implementation can be ascertained, there must be reasonable assurances that the QA Programmatic requirements are adequately defined, tailored to each site, and documented from the institutional site level down through the activity levels at each site.. Also, there must be a process in place to assure on an ongoing basis that QA is effectively implemented at NNSA sites. .This is accomplished by the Contractors' management assessment, self-assessment, independent assessment, and other processes.. Effective Federal oversight verifies that Contractors are effectively implementing QA. .Other key Roadmap Mile Markers are addressing each of these requirements, but need to be verified.. As such, the path forward for this Mile Marker includes the following steps:</p> <ol style="list-style-type: none"> <li>1. Develop expectations on what constitutes effective QA implementation for NNSA Complex at the Headquarters, Site Office, Contractor, and Subcontractor levels.</li> <li>2. Evaluate desired end state products from other Mile Markers and incorporate attributes into Mile Marker 15 activities.</li> <li>3. The Site Offices and contractors evaluate their QA Program against NNSA expectations, identify gaps, and use a graded approach to develop a plan to achieve the expectations.</li> <li>4. Site Offices conduct assessments to evaluate key aspects of the contractor's QA performance.</li> </ol>				
<b>Deliverables / Milestones</b>				<b>Schedule</b>	
<ol style="list-style-type: none"> <li>1. Key Site contacts identified.</li> <li>2. Complete development of Quality Assurance criteria that identifies what constitutes effective QA implementation within the NNSA Complex at the Headquarters, Site Office, Contractor, and Subcontractor levels.</li> <li>3. Team evaluates deliverables from other Mile Markers.</li> <li>4. Headquarters, Site Offices and Contractors each evaluate their QA Program(s) implementation.</li> <li>5. Site Offices assess contractor QA program implementation.</li> </ol>				Completed 12/04 12/05  06/06 09/06  06/07	

PROCESSES (The HOW – examples include conduct of operations, corrective actions and implementation)					
Desired End State	Covered By	Applicability	Present State	Gap	Champions
<b>16. Effective Federal oversight</b>	DNFSB 2004-1 DOE O 226.1	Federal Employees	Federal oversight is not consistent among sites.	Federal oversight processes not fully developed and consistently implemented at all sites.	<b>Dave Chaney, NNSA SC &amp; Mike Marelli, NSO (Federal lead)</b>  <b>Kathy Brack, BWXT Pantex (Contractor lead)</b>
	<b>Path Forward</b>				
	See 2004-1 (Section 5.1.2)				
	<b>Deliverables / Milestones</b>				<b>Schedule</b>
See 2004-1 (Section 5.1.2): <ul style="list-style-type: none"> <li>• CRAD for Federal oversight;</li> <li>• Safety Oversight Manual (DOE Manual 226.1);</li> <li>• Verification of DOE Policy, Order, and Manual implementation; and</li> <li>• NNSA HQ assess Site Office QA program implementation consistent with DNFSB 2004-1 Implementation Plan.</li> </ul>				6/05 6/06 11/07 In accordance with 2004-1 schedules.	

## Listing of Roadmap Acronyms

A – L	M - Z
<p>BN - Bechtel Nevada            BWXT Pantex - Pantex Operating Contractor            BWXT Y12 - Y12 Operating Contractor            CAIB - Columbia Accident Investigation Board            Cat - Category            CFR - Code of Federal Regulations            CPEP - Corporate Performance Evaluation Process            CRAD - Criteria, Review, and Approach Document            DEAR - Department of Energy Acquisition Regulations            DNFSB - Defense Nuclear Facilities Safety Board            DOE - Department of Energy            EFCOG - Energy Facility Contractors Group            EH - DOE Office of Environment and Health            EM - DOE Office of Environmental Management            FRAM - Functions, Responsibilities and Authorities Manual            HQ - Headquarters            INPO - Institute of Nuclear Power Operations            IP - Implementation Plan            ISM - Integrated Safety Management            ISMSD - Integrated Safety Management System Description            KCP - Kansas City Plant            KCSO - Kansas City Site Office            LANL - Las Alamos National Laboratory            LASO - Las Alamos Site Office            LLNL - Lawrence Livermore National Laboratory            LSO - Livermore Site Office</p>	<p>M&amp;O - Management and Operating            NAP - NNSA Policy            NNSA - National Nuclear Security Administration            NSO - Nevada Site Office            NTS - Nevada Test Site            POCs - Points of Contact            PXSO - Pantex Site Office            QA - Quality Assurance            QAIP - Quality Assurance Improvement Plan            QAP - Quality Assurance Program            R2A2s - Roles, Responsibilities, Accountabilities, and Authorities            RL/ORP - Richland Office of River Protection            SC - Service Center            SNL - Sandia National Laboratories            SQA - Software Quality Assurance            SQAIP - Software Quality Assurance Implementation Plan            SQAS - Software Quality Assurance Subcommittee            SRS - Savannah River Site            SSCs - Structures, Systems, and Components            SSO - Sandia Site Office            TBD - To Be Determined            TQP - Technical Qualification Program            WSRC - Westinghouse Savannah River Company            YSO - Y12 Site Office</p>