



Quality Assurance Initiatives in DOE

Presented to
American Society for Quality
34th National Energy and Environmental Conference
November 6, 2007

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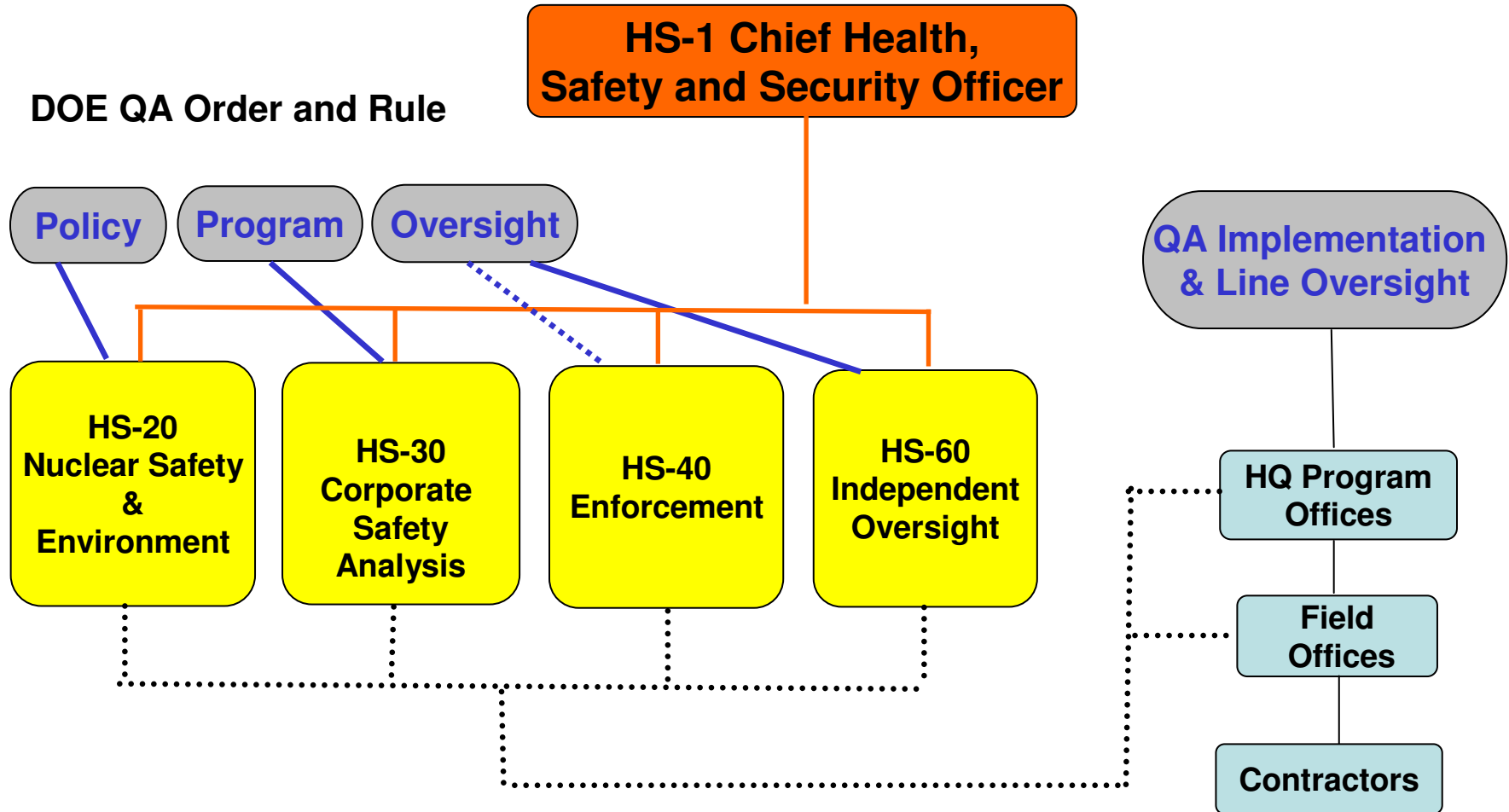
Topics



- Approach to Quality
- DOE Quality Council
- Secretarial QA Initiative
- Organizational QA Initiatives
- QA Rule Enforcement
- Quality Assurance Analyses



Approach to Quality



*Does not include all HSS organizations



DOE Quality Council



- Establishing the DOE Quality Council
 - Fed employees from HQ and Field
- Purpose: To improve the Department's QA posture by promoting communication, consistency, and collaboration across the DOE-complex
- Proposed role for the Council is to assist the DOE in:
 - Identifying cross-cutting QA issues
 - Evaluating effectiveness of lessons learned and identify common trends
 - Recommend QA notifications via alerts and bulletins
 - Provide input to QA policy developers



2006 Secretarial QA Initiative



- Secretary issued memorandum on *Improving Quality Assurance* (April 2006)
- General theme of memorandum:
 - Internal and external reviews documented inconsistent implementation of QA policies and principles
 - QA is not being effectively implemented across the Department
 - Department Elements have been requested to assess and report the status of QA implementation



2006 Secretarial QA Initiative (cont.)



- Departmental Elements reported on their implementation of QA
- Information was collected in 4 areas:
 - QAP development and approval
 - Flow-down of QA requirements
 - QA authorities and qualifications
 - Assessments and improvement



2006 Secretarial QA Initiative (cont.)



- Results of 2006 QA survey indicated that:
 - Some HQ Offices did not have QAP but are developing one
 - Some HQ Offices did not have QAP and questioned why it was needed
 - Most Field Offices and their contractors have QAPs in place
 - Most HQ and Field Offices have designated manager responsible for QA
 - Additional effort needed to verify level of QA implementation
- 2006 QA Survey had a positive impact on the importance of QA
- Report indicated the survey needed to be modified for the 2007 effort



2007 Survey on QA Implementation



- **Deputy Secretary memo issued the modified survey request (10/1/2007)**
 - **Management Assessment results or survey response**
- **Responses due Nov 9, 2007**
- **Summary report in early 2008**
- **“Survey” every 2 years**



Focus Areas for 2007 Survey



■ Updated 2006 Survey

– Enhanced 2006 focus areas:

- QA Program Status
- Flow down of QA Requirements
- Training & Qualifications
- Assessments

– Three additional focus areas:

- Software Quality Assurance
- Suspect/Counterfeit and Defective Items
- QA in design and construction



Example of Line Management QA Initiative



- EM HQ review of capital projects to NQA-1 requirements
- Setting a baseline to NQA-1-2004
- Gap analysis
- Examples of common findings:
 - Federal: No specific QA organization, lack of or inadequate documentation and/or insufficient number of QA personnel
 - Contractor: No direct access to management, insufficient procurement documentation, and lack of documented control plans for multiple organizations



Example of Office of Management QA Initiative



- DOE Order 413.3A, *Program and Project Management for the Acquisition of Capital Assets*
 - Modified Order to incorporate an emphasis on QA at all levels
 - DOE Manual 413.3-1 will be replaced by 18 guides
 - DOE Guide 413.3-2, *Quality Assurance Program Guide*, specifically addresses QA



Federal Project Directors



Good



Bad



DOE G 413.3-2

Emphasizes to Federal Project Directors the importance of QA and complete and accurate documentation



QA Rule Enforcement

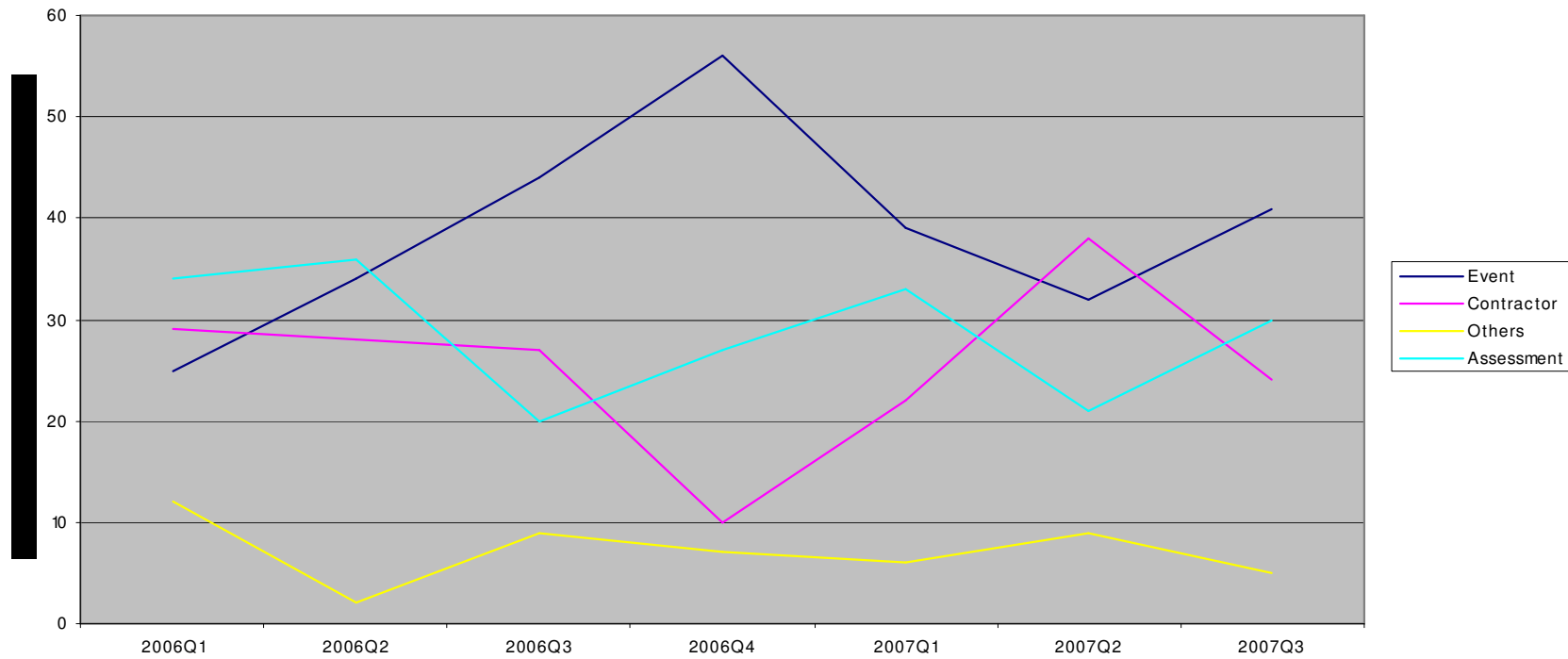
(Price Anderson Amendments Act)



- Rule requirements are designed to reduce risk from DOE regulated nuclear facilities
 - Requirements parallel O 414.1C with some differences
 - Encourages use of consensus standards e.g., NQA-1
 - Incorporates ISMS functions & principles
- Results – Most QA rule violations involve failures by contractors to implement their own procedural requirements, and recurring violations.

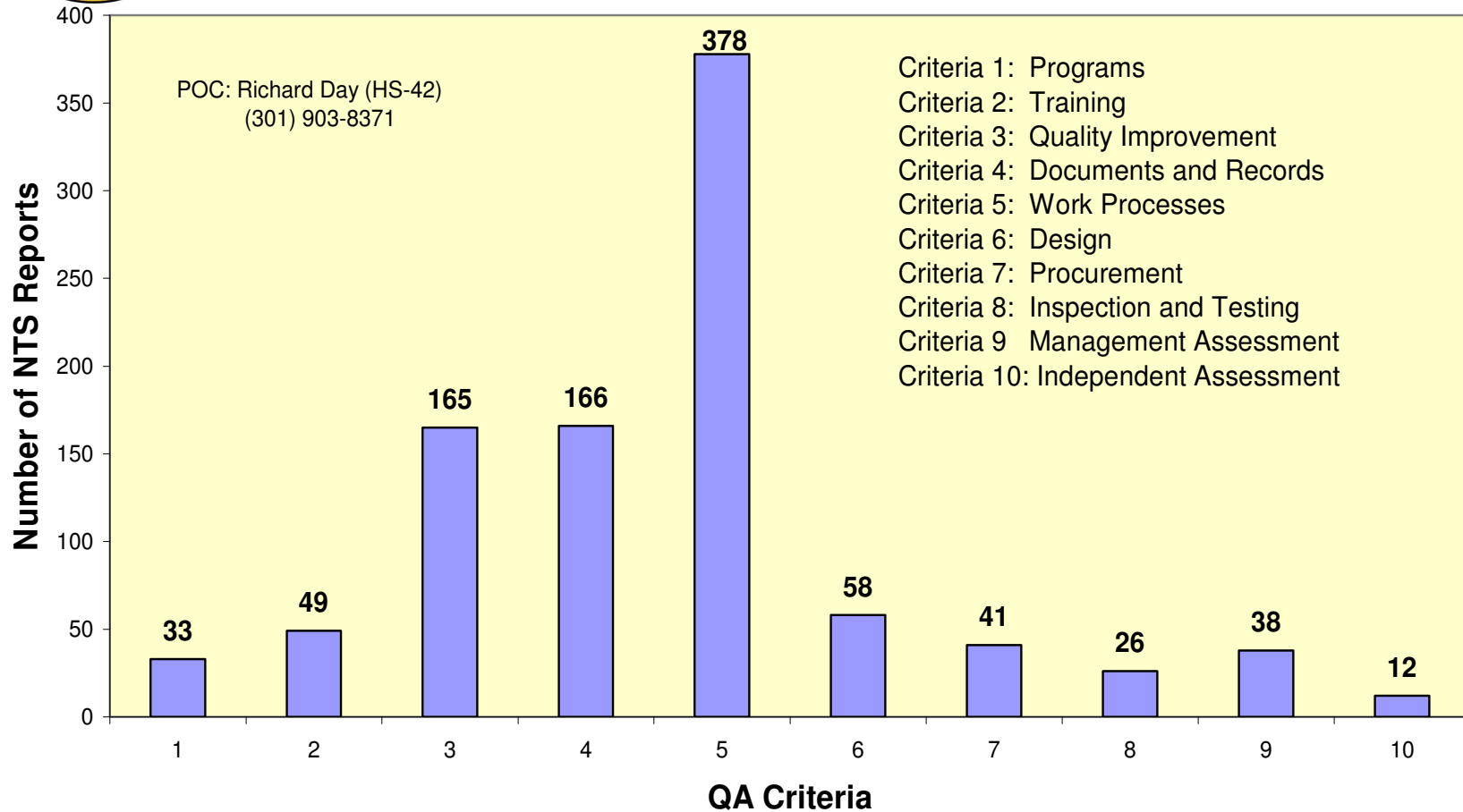


NTS Reports by Mode of Identification





Noncompliance Tracking System (NTS) Report Distribution by 10 CFR 830 QA Criteria Violated (2005 - Present)





QA Analyses

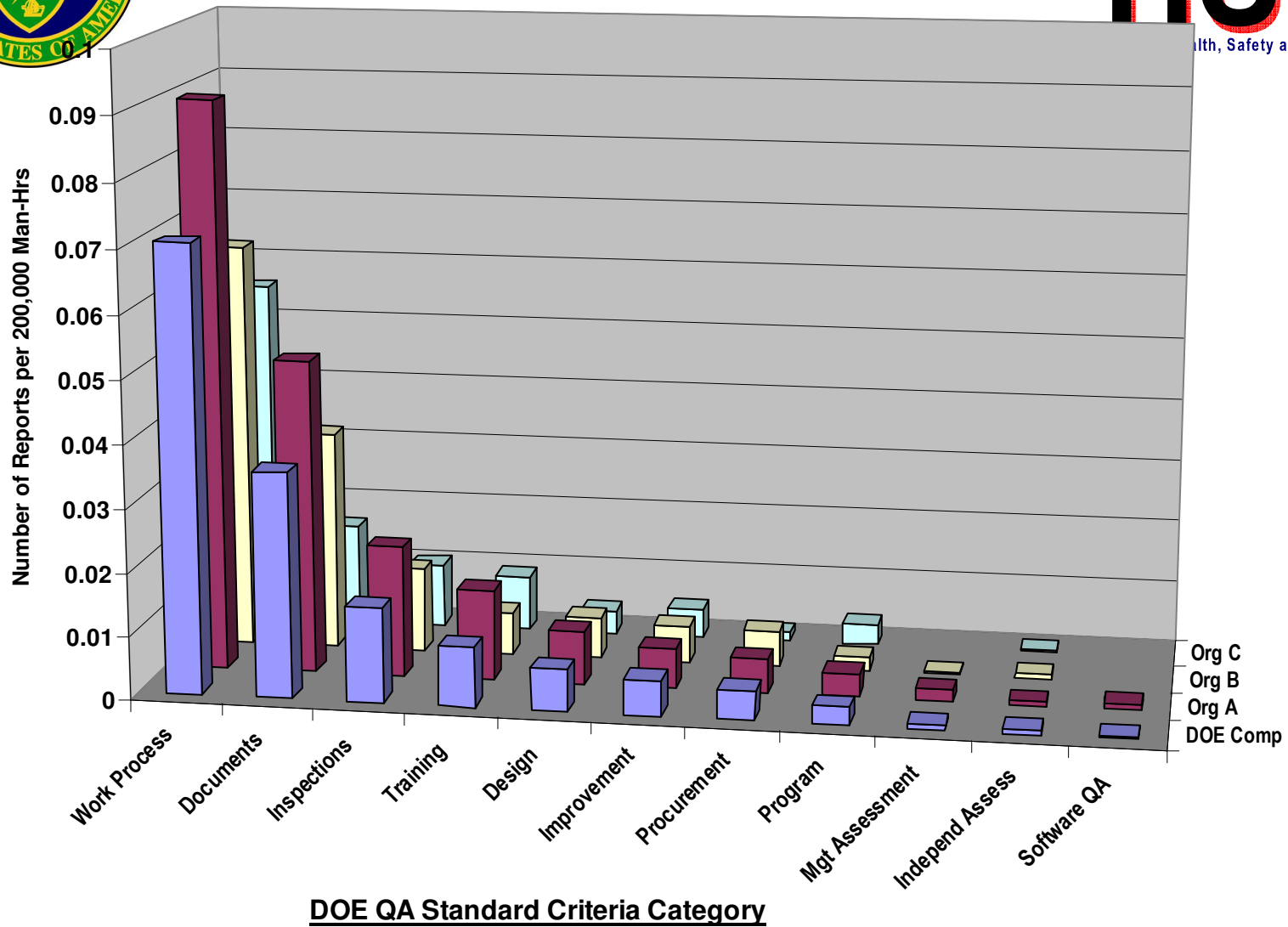


- DOE's databases to extract QA-related data:
 - Occurrence Reporting and Processing System (ORPS)
 - Noncompliance Tracking System (NTS)
[QA Rule Enforcement]
- Lessons Learned Program



DOE Occurrence QA Distribution by Organization

(Normalized by Man-Hrs - 10/1/2006 to 9/30/2007)





Lessons Learned Program



- A centralized program that can help prevent the recurrence of significant adverse events/trends
- Current Activities:
 - Update/enhance database
 - Making QA a prominent part of program
 - Integrate SCI/DI and SQA into database
 - Create a user friendly system



Summary



- Ultimate goal of DOE is to move from compliance to improve performance and achieve excellence
- Work with DOE organizations to:
 - Understand QA requirements
 - Facilitate consistent interpretation
 - Implement lessons learned across the complex
 - Continuous improvement of operations & processes across the complex