Department of Energy
Office of Environmental Management and
Energy Facility Contractors Group

2017 Quality Assurance
Improvement Project Plan

Approved by:

John McDonald, WRPS
Chair, EFCOG Safety Working Group

Jim Hutton, DOE/EM
Deputy Assistant Secretary
Safety, Security, & Quality Assurance, EM-3.1

[Signatures and dates]
Office of Environmental Management and Energy Facility Contractors Group
2017 Quality Assurance Improvement Project Plan

Introduction:
This Project Plan is jointly developed by the Department of Energy (DOE) Office of Environmental Management (EM) and the Energy Facility Contractors Group (EFCOG), to provide execution support to the EM Quality Assurance (QA) Corporate Board. The Board serves a vital and critical role in ensuring that the EM mission is completed safely, correctly, and efficiently.

The joint EM-EFCOG approach to enhancing QA signifies the inherent commitment to partnership and collaboration that is required between the contractor community and DOE to proactively improve performance of the EM mission and projects. This mandate is more important today than it has ever been as budgetary restrictions are realized across the complex.

The Project Plan documents a formal approach for managing the scope of the EM/EFCOG Quality Assurance Improvement Project. It builds on and leverages the success and operating experience gained from implementation of QA programs already in place at various EM Sites. The Project Plan will be updated as needed to reflect ongoing progress.

Scope:
The scope of this Project Plan is to address the priority QA focus areas identified by the EM QA Corporate Board. The Project Plan’s scope includes the following four (4) project focus areas for 2017:

- Updating and Streamlining EM QA-001 Revision 1
- Methods to Effectively Share QA Resource within EM
- Joint Supplier Evaluation Program (JSEP) Effectiveness and Implementation Optimization
- Cost Effective Interpretation of Commercial Grade Dedication (CGD) Requirements

The Project Plan provides a description of the initial project focus areas and agreed upon actions and milestones. Additional project focus areas or related initiatives may be added to the scope of this Project Plan upon approval by the EM QA Corporate Board.

The key expectations for each project focus area lead are as follows: 1) provide actionable and implementable recommendations with specific path forward to the Board for its consideration, 2) provide the Board with an analysis/assessment of the degree to which impacts and implications of the proposed actions on the EM complex have been considered, and 3) provide the Board with indicators that can be exercised to determine the success of the recommendations.

Project Organization:
The overall Project Managers for the joint EFCOG-EM Quality Improvement Initiatives are:

- Mr. Bob Murray, Director, EM Office of Standards and Quality Assurance, (EM-3.113), and
- Mr. Vincent J. Grosso, EFCOG Safety Working Group QA Subgroup Chairperson.
The project’s Executive Committee includes:

- Mr. John McDonald, EFCOG Safety Working Group Chairperson.
- Mr. Jim Hutton, Deputy Assistant Secretary, Office of Safety, Security, and Quality Assurance, EM-3.1 (EM/HQ).

Additional leadership may be added to the Project Executive Committee, as needed, to further facilitate and support execution of the Project Plan.

Each project area will have designated EM and/or EFCOG Leads. These individuals are expected to interface and coordinate completion of the project area milestones. A critical aspect of the interface and coordination responsibility includes reaching out to appropriate stakeholders within the EM federal and contractor community. This is to ensure that any resultant strategy and recommendation has been fully considered so the Board can make informed decisions regarding any potential programmatic implications, resource requirements, and expected corporate benefits. To this end, the designated EM and EFCOG leads should ensure representatives from each EM site are included in the completion of the focus area deliverables where possible.

Figure 1 presents the project organization and identifies the EM and EFCOG leads for each of the Project focus areas. Additional line participants from both EM operations and contractors will be added to the project teams as needed to ensure accomplishment of the specific objectives.

**Key Project Personnel Roles and Responsibilities:**

The Project Executive Committee is responsible to:

- Provide advice and counsel to the Project Managers as needed.
- Ensure barriers to project implementation, issues, and concerns identified by the Project Managers are effectively addressed and resolved.
- Provide quarterly progress review of agreed upon project focus area milestones.
- Provide technical expertise and feedback to the project leads, as needed, and to ensure the project’s successful completion.
- Provide periodic status updates to EM senior management and the EFCOG Board of Directors.

The Project Managers are responsible to:

- Lead the overall project coordination effort consistent with the Project Plan, associated schedules, and agreed upon deliverables.
- Work with EM staff and EFCOG’s Safety Working Group Chair to identify Project Focus Area Leads and participants.
- Regularly monitor project area milestone completion progress and provide guidance and direction to Project Area Focus Leads as needed.
- On a quarterly basis, report Project Plan progress to the Project Executive Committee and the EM QA Corporate Board.

The Project Focus Area Leads are responsible to:

- Identify and obtain EM and EFCOG participants to support completion of project focus area milestones.
- Define and implement the strategy for accomplishing the project focus area milestones.
- Lead efforts to successfully complete assigned milestones and deliverable commitments.
- Coordinate project focus area activities with his/her designated co-lead (contractor or federal).
- Define project focus area completion approach, strategy, and coordinate activities of project area teams.
- Ensure outreach to a broad spectrum of the EM community to identify any programmatic implications resulting from recommendations and products.
- Participate in project status meetings and teleconferences.
- On a quarterly basis, report progress to the designated EM and EFCOG Project Managers. Included in the briefing is an assessment of any programmatic impacts, resource requirements, and characterization of expected corporate benefits.

Each focus area will have a DOE and EFCOG lead. Focus areas 2, 3, and 4 will be co-led by field DOE leads. For focus areas 2, 3, and 4, EM-3.113 will provide a HQ staff member to support the field DOE lead.

**Project Execution and Performance Management:**

This project will be executed consistent with EM project management processes and practices. All key decisions will be coordinated with the Project Managers and, as appropriate, with the respective Project Focus Area Leads. Project status reviews of the Project Focus Areas will be held with the Project Executive Committee on a quarterly basis during the duration of the project.

Day-to-day management of specific project milestones, task activity scheduling, and task completions is the direct responsibility of the Project Focus Area Leads. In order to declare a milestone complete, the Project Focus Area Leads must issue the necessary supporting documentation to the Project Managers for acceptance. Any changes to a designated project area scope, milestones, or overall target completion dates must be approved by the Project Managers. The Project Managers will review and coordinate all proposed changes with the Project Executive Committee.

**Review and Comment Process for Project Focus Areas:**

The Project Focus Area Leads will follow a progressive three-tier review process for all deliverables or products. The focus of each level of review is to assess adequacy of the technical approach, soundness of the underlying assumptions, and progression of the project is on a path to successful completion consistent with the agreed upon schedule. Specifically; the reviews consist of:

- First Level of Review (2 weeks review/2 weeks comment resolution): Project Managers
- Second Level of Review (1 week review/1 week comment resolution): Executive Committee
- Third Level of Review: EM QA Corporate Board Members (voting and non-voting Full Members)
Communications:
The Project Managers will conduct teleconferences to discuss status of specific project area progress with the Project Focus Area Leads. Additional conference calls or meetings will be scheduled as needed. To facilitate timely and cost-effective communication, email and video-conferencing will be used to the extent practical. Individual Project Focus Area teams will determine the communication needs and methods best suited for their specific teams.

Project Termination:
The Quality Assurance Improvement Project Plan will be maintained in an active state until all actions are completed, or, the EM QA Corporate Board (by vote) terminates the Project.
Figure 1 - Quality Assurance Program Improvement Project Organization

EM QA Corporate Board
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Project Executive Committee

Project Managers

Bob Murray, DOE HQ EM
Vincent Grosso, EFCOG

Focus Area #1
Update and Streamline the EM Quality Assurance Plan
   DOE Lead: Bob Toro
   EFCOG Lead: Mike Sheridan

Focus Area #2
Develop methods to Effectively Share QA Resources within EM
   DOE Lead: Mike Pribish
   EFCOG Lead: Vince Grosso

Focus Area #3
Optimize Joint Supplier Evaluation Program (JSEP) Effectiveness and Implementation
   DOE Lead: Paul Schroder
   EFCOG Lead: Vince Grosso

Focus Area #4
Implement Cost Effective Interpretation of Commercial Grade Dedication (CGD)
   DOE Lead: Jerry Lipsky
   EFCOG Lead: Damon Haley
Quality Assurance Project Focus Areas

Project Focus Area #1 – Update and Streamline the EM Quality Assurance Plan

Target Completion Date: January 2018

Background:
On October 20, 2008, EM established its quality program through the implementation of the EM Corporate Quality Assurance Program (EM-QA-001). Since its inception the EM QAP has gone through one revision and that was in combination with the Department’s rewrite of DOE O 414.1C. A review of the EM Corporate QAP is now warranted to determine what may need to be improved and/or enhanced to better support the Field Elements in accomplishing the EM mission. During the recent 18th annual EM QA Corporate Board meeting, EM 3.113 recommended the following changes and input for Revision 2 of EM-QA-001:

- Include standard QA contract language,
- Add an attachment to address HLW via NQA-1 subpart 2.25,
- Update existing references, and
- Identify the current management expectations derived for EM policy or lessons learned that should be retained as requirements.

EM 3.113 also stated during the EM QA Corporate Board meeting that all non-requirements should be removed from EM-QA-001 Rev 1 and additional clarification added to mandatory management expectations where necessary. In addition, the EM QA standard contract language establishes EM-QA-001 solely as a QA contractual requirement within EM. Contractually using EM-QA-001 eliminates the burden of having to rely on the NQA-1 subcommittees for interpretation. EM-3.1 is the responsible interpretive authority for EM-QA-001. The Focus Area will explore how to best apply the EM interpretive authority for EM-3.1 in addition to providing any other suggested input for changes to EM-QA-001 Rev 1 where needed.

Scope:
The Focus Area team will solicit comments from the various sites (federal and contractor offices) as to the need for changes or clarifications to EM-QA-001 Revision 1. These recommendations will be focused on where confusion exists, where requirements are not clear, and where the existing requirements generate undue burden or hardship on the projects. The Focus Area team will consolidate the comments received from the sites and generate a list of recommended changes to EM-QA-001 Revision 1. These changes will focus on eliminating superfluous information from the EM Corporate QAP and reinforce EM-QA-001 Rev 2 as the principal QA protocol for EM work activities. This focus area will develop a list of recommended changes to EM-QA-001 Revision 1 that will be submitted to the Project Plan Project Managers for review and approval prior to the QA Corporate Board vote for implementation.
**Status:**
EM Field Elements and their contractors through their implementation of EM-QA-001 Revision 1 have identified some areas of the Corporate QAP that could benefit from additional clarification. In addition, there are additional appendices that may need to be considered for addition to the Corporate QAP. For example, the effort to integrate the High-Level Waste QA requirements into NQA-1 resulted in the decision to create a NQA-1 Subpart 2.25 for High-Level Waste programs. A Draft Subpart 2.25 has been completed and was presented to the ASME Waste Management subcommittee in April 2017. Since Subpart 2.25 is not expected to be released until NQA-1 2019, consideration should be given to adding it to the EM Corporate QAP in the interim. Other suggestions for appendices were provided at the last QA Corporate Board meeting.

**DOE Lead:** Bob Toro (EM-3.113)

**EFCOG Leads:** Mike Sheridan

**Support Team:**
To be determined by the DOE and EFCOG leads

**Focus Area #1 Project Milestones:**

<table>
<thead>
<tr>
<th>Task #</th>
<th>Estimated Due Date</th>
<th>Task Description</th>
<th>Deliverable</th>
<th>Deliverable To Be Submitted to Project Managers</th>
</tr>
</thead>
<tbody>
<tr>
<td>FA1-01</td>
<td>10/16/17</td>
<td>Convene a workshop (or hold multiple VTCs) with site QA managers and prime contractor QA managers to develop recommended changes that would benefit EM-QA-001 Revision 1.</td>
<td>Workshop Notes and Initial Set of Recommendations</td>
<td>No</td>
</tr>
<tr>
<td>FA1-02</td>
<td>12/8/17</td>
<td>Consolidate feedback from the DOE field elements and contractors and screen the recommendations.</td>
<td>Qualified set of Recommendations</td>
<td>No</td>
</tr>
<tr>
<td>FA1-03</td>
<td>1/16/18</td>
<td>Generate a final list of recommended changes to EM-QA-001 Revision 1.</td>
<td>List of Changes</td>
<td>Yes</td>
</tr>
<tr>
<td>FA1-04</td>
<td>2/8/18</td>
<td>Have QA Corporate Board vote to approve recommended changes to EM-QA-001 Rev 1 and once approved provide those changes to EM-3.113 for incorporation into EM-QA-001 Rev 2.</td>
<td>List of final approved changes</td>
<td>Yes</td>
</tr>
</tbody>
</table>
Project Focus Area #2 – Develop methods to Effectively Share QA Resources within EM

Target Completion Date: May 2018

Background:
EM site management has identified the need to leverage quality resources from other sites and from EM-HQ to support the implementation of their quality programs. EM needs to develop innovative solutions across the EM federal and contractor workforce as to how to better share quality (i.e.: QA, QE, and QC) resources to meet current and new work scope needs; while working within and overcoming limited budget constraints. This approach for leveraging quality resources establishes the need for all EM sites to more effectively work collaboratively together. EM should build upon the solutions already in place to ensure quality resources are readily available, equally leveraged, and appropriately compensated to meet mission needs across the complex.

Scope:
This focus area will center on generating some ideas and approaches using improve existing or new methods on how EM sites can better share quality resources. The approach will also focus on obtaining better complex knowledge (i.e., allowing sites to see how other sites do things more efficiently) while also allowing for better coverage of the site QA problems. This Focus Area should include federal and contractor resource options and include both oversight and work performance. The recommendations that are generated as a result of this Focus Area will be provided to EM HQ and EFCOG management for action.

Status:
Status updates will be provided at the EM Corporate QA Board meetings.

DOE Lead: Mike Pribish (OREM)
EFCOG Lead: Vince Grosso

Support Team:
To be determined by the DOE and EFCOG leads
### Focus Area #2 Project Milestones:

<table>
<thead>
<tr>
<th>Task #</th>
<th>Estimated Due Date</th>
<th>Task Description</th>
<th>Deliverable</th>
<th>Deliverable To Be Submitted to Project Managers</th>
</tr>
</thead>
<tbody>
<tr>
<td>FA2-01</td>
<td>12/1/17</td>
<td>Convene a workshop (or hold multiple VTCs) to develop recommended solutions on how to better share QA resources. To stimulate discussion, the focus area may consider sending a short discussion paper/questionnaire to the federal site QA managers prior to convening a workshop of VTC.</td>
<td>Workshop Notes and Initial Set of Recommendations</td>
<td>No</td>
</tr>
<tr>
<td>FA2-02</td>
<td>2/15/18</td>
<td>Consolidate feedback from the DOE field elements and contractors and screen the recommendations.</td>
<td>Qualified set of Recommendations</td>
<td>No</td>
</tr>
<tr>
<td>FA2-03</td>
<td>5/15/18</td>
<td>Generate a final list of recommendations and provide to the Board for a vote.</td>
<td>List of Recommendations</td>
<td>Yes</td>
</tr>
<tr>
<td>FA2-04</td>
<td>5/15/18</td>
<td>Provide list of recommendations to EM and EFCOG management for consideration and implementation.</td>
<td>List of Corporate Board approved recommendations</td>
<td>Yes</td>
</tr>
</tbody>
</table>
Project Focus Area #3 – Optimize Joint Supplier Evaluation Program (JSEP) Effectiveness and Implementation

Target Completion Date: December 2017

Background:
The EM QA Corporate Board recognizes that optimizing JSEP is an on-going corporate effort and challenge. JSEP was developed and implemented within EM and is now in use within NNSA. JSEP’s implementation within EM can be optimized. The EM QA Corporate Board recognizes that there are still some EM sites that do not leverage the benefits of the JSEP program and continue to qualify suppliers separately. As such, the EM QA Corporate Board has recommended forming this Focus Area to first evaluate the effectiveness of JSEP and second to determine if there are any enhancements that should be considered to better nurture its success. In addition, the Focus Area will explore how best to expand the use of the JSEP database of qualified suppliers with the focus on eliminating repetitive audits while mitigating concerns over supplier qualification liability.

Scope:
The scope of this Focus Area will be to evaluate the current effectiveness of the JSEP implementation then recommend any needed enhancements that could reduce the cost of executing the program. The focus area team will then identify and recommend solutions to any roadblocks and concerns with JSEP’s implementation. JSEP must be self-sustaining without requiring intervention from EM senior management to be successful. There must also be a concerted effort by the Focus Area to address the liability concerns associated with JSEP’s implementation that is currently obstructing its full use across EM.

Status:
This is a new Focus Area. Status updates will be provided at the EM Corporate QA Board meetings. The focus area will need to work closely with the DOE/EFCOG Task Team addressing the need for a “Single Approved Supplier List” since there are common issues to be resolved among the two teams.

DOE Lead: Paul Schroder (ORP)

EFCOG Lead: Vince Grosso

Support Team:
To be determined by the DOE and EFCOG leads
### Focus Area #3 Project Milestones:

<table>
<thead>
<tr>
<th>Task #</th>
<th>Estimated Due Date</th>
<th>Task Description</th>
<th>Deliverable</th>
<th>Deliverable To Be Submitted to Project Managers</th>
</tr>
</thead>
<tbody>
<tr>
<td>FA3-01</td>
<td>8/11/17</td>
<td>Execute a management assessment of the JSEP program to determine its effectiveness and cost savings to date. Determine how wide-spread the use of JSEP is and identify any reasons for not using JSEP.</td>
<td>Management Assessment</td>
<td>No</td>
</tr>
<tr>
<td>FA3-02</td>
<td>8/11/17</td>
<td>Convene a workshop with EM contractors to better understand how to address any issues identified and to develop recommended solutions on how to better execute the program.</td>
<td>Workshop Notes and Initial Set of Recommendations</td>
<td>No</td>
</tr>
<tr>
<td>FA3-03</td>
<td>10/27/17</td>
<td>Consolidate feedback from workshop and screen the recommendations.</td>
<td>Qualified set of Recommendations</td>
<td>No</td>
</tr>
<tr>
<td>FA3-04</td>
<td>11/10/17</td>
<td>Generate a final list of recommendations.</td>
<td>List of Recommendations</td>
<td>Yes</td>
</tr>
<tr>
<td>FA3-05</td>
<td>12/29/17</td>
<td>Develop a summary report for distribution to the QA Corporate Board.</td>
<td>Summary Report</td>
<td>Yes</td>
</tr>
</tbody>
</table>
Project Focus Area #4 – Implement Cost Effective Interpretation of Commercial Grade Dedication (CGD)

Target Completion Date: December 2017

Background:
Discussion at the 18th EM QA Corporate Board meeting in Los Alamos, NM identified that there has been some confusion across the EM complex with respect to the implementation of the CGD process as defined in NQA-1. Some of the concerns raised specific to CGD implementation included:

- There is often excessive effort and resources utilized to dedicate items that may not need to be dedicated to NQA-1 or that the scope of CGD activities are excessive to meet the goals of NQA-1 CGD programs,
- CGD is an area of unequal implementation between sites because of differences in interpreting guidance documents,
- Complex-wide guidance for CGD should be updated due to the variability in CGD application throughout the EM complex,
- Examples need to be established of good and bad implementation of CGD for different topical areas (i.e., ventilation) and examples of differences in CGD application for new systems versus replacing parts on existing systems,
- CGD training would be helpful to promote consistency of understanding of the requirements and promote consistency of implementation throughout the complex. The National Training Center (NTC) should be considered to transfer the existing CGD training materials, and
- RE-evaluating current CGD processes and how CGD practices are defined in procurements.

The EM QA Corporate Board is establishing a CGD Focus Area to update current EM guidance specific to CGD, update the training course material for CGD within EM, and offer the update guidance to AU to implement in the Departmental-wide CGD Handbook.

Scope:
This Focus Area will start with the CGD white paper outlined by Savannah River at the 18th EM QA Corporate Board meeting in Los Alamos, NM. This Focus Area will then review the other concerns raised by the EM Corporate Board and determine if they are viable to address. The Focus Area will then make a recommendation to the EM QA Corporate Board about any recommended revisions to the EM CGD guidance document and training materials. The Corporate Board members will then vote on the decision to pursue updating the EM CGD guidance and training materials.

Status:
This is a new Focus Area. Status updates will be provided at the EM Corporate QA Board meetings.
**DOE Lead:** Jerry Lipsky (SR)  
**EFCOG Lead:** Damon Haley  

**Support Team:**
To be determined by the DOE and EFCOG leads

**Focus Area #4 Project Milestones:**

<table>
<thead>
<tr>
<th>Task #</th>
<th>Estimated Due Date</th>
<th>Task Description</th>
<th>Deliverable</th>
<th>Deliverable To Be Submitted to Project Managers</th>
</tr>
</thead>
<tbody>
<tr>
<td>FA4-01</td>
<td>8/31/17</td>
<td>Hold several VTCs to review the CGD clarification provided by SR and other concerns raised at the 18th EM QA corporate Board meeting.</td>
<td>Meeting notes with decisions specific to each concern raised by QA Corporate Board</td>
<td>No</td>
</tr>
<tr>
<td>FA4-02</td>
<td>9/15/17</td>
<td>Develop any updates or modifications to the process.</td>
<td>Updated White Paper</td>
<td>Yes</td>
</tr>
<tr>
<td>FA4-03</td>
<td>9/15/17</td>
<td>Distribute the updated process/white paper to the DOE field elements and prime contractors for feedback.</td>
<td>Email</td>
<td>No</td>
</tr>
<tr>
<td>FA4-04</td>
<td>10/15/17</td>
<td>Consolidate feedback from the review and develop recommended clarifications to the EM CGD guidance and training materials as necessary</td>
<td>Draft Revisions</td>
<td>No</td>
</tr>
</tbody>
</table>
| FA4-05  | 10/30/17           | Develop a recommended path forward for distribution and implementation of the revised EM CGD guidance, including any recommended coordination with AU on the DOE CGD guide. | (1) Recommended Revision to the EM CGD Guide  
(2) Path Forward Document | Yes |
| FA4-06  | 11/6/17            | Corporate Board makes decision to pursue changes to CGD guidance and training materials. | Corporate Board Vote | Yes |
| FA4-07  | 11/30/17           | EM-3.1 distributes recommendations or guidance documents to AU | Revised Guidance or list of CGD changes to be made to guidance. | No |