



Open Task Report



Friday, February 02, 2018

Working Group

Quality Assurance

Task Group

Policy and Procedures

Task Sheet Number

P&P-11-02

Task Start Date

6/1/2011

Estimated Completion Date

6/30/2017

Coordinate with Other EFCOG Working Group

Task Title: Graded Approach

Task Description: Review the existing EFCOG graded approach paper/presentation and determine if the document should be updated or another paper written - New paper will be drafted
Describe various grading processes methodologies used across DOE
Provide examples of how the graded approach could be implemented for each QA program element, as applicable.

Deliverable(s): Describe various grading processes methodologies used across DOE
Provide examples of how the graded approach could be implemented for each QA program element, as applicable.

Status Date: 11/8/2017 Paper is still in process. It was asked whether the Table within the paper should only focus now on NQA-1 requirements 1-18 and perhaps expand later to address the other criteria. No decision was reached. The document and table were reviewed for any additional changes. There were no substantive changes to Table from previous DRAFT. Consider adding actual wording to the requirement column.
Some discussion regarding use of the terms "Other" and "Commercial". It was suggested to perhaps use "Commercial Rigor" instead of "Other" or "Commercial."

History/Comments: 2/1/2017 - Due to the retirement of the QA Policies & Procedures Chair/Writing Team Leader in Early 2016, this task has been on hold. Upon reconstitution of the QA Policies & Procedures Task Group in November of 2016 this task has been re-established as a priority item. The considerable existing work conducted on this task is being evaluated and re-issued to the QAP&PTG Membership for review and comment. Expected completion date of 6/30/2017 is anticipated to be achievable.

Per telecom 2/16/12 - Task may need to be revised based on information received through the developed IEA Paper.

Planned activities: Five matrices will be completed by March 31, 2013 with draft guidance for the first five completed by November 30, 2013

Balance of matrices by November 30, 2013 with draft guidance for those by March 30, 2014

Provide draft white paper to EFCOG Management team after the Fall 2014 EFCOG meeting.

11/12/2014 - The deliverable (whitepaper) is still needed and will be discussed during the Spring 2015 meeting with the team.

Email - Four examples of how the graded approach could be implemented are drafted. One has been provided to the team and the other three will be provided to the team this week. The plan for November is to complete the first four examples and continue with the other fourth Requirements of NQA-1. Once examples are developed for each element of ASME NQA-1, a white paper will be written to describe the examples and provided to EFCOG management for approval to post on EFCOG web site.

11/27/2012 – Completed review of design control matrix. Also, completed review of procurement document control matrix. An updated version of the matrices will be provided to the team for review before the next conference call in January. In addition, a review of the Organization matrix was completed. The team determined it was unnecessary since no grading is appropriate.

02/07/2013 – Fifteen matrices are drafted and five are in the team review cycle. The design Control matrix still needs hand-on work during the April meeting. Design Control and four other matrices will be worked at the April meeting. Monthly calls are being used to obtain preliminary reviews and discussions.

8/27/2014 - The deliverable (whitepaper) is still needed and will be discussed during the Fall meeting with the team.

5/21/2015 - No activity on this task during May 2015 meeting. Some discussion was held with team about a path forward for the task. The matrices that were developed will be resent to team in July for review. The matrices will either be finalized or the task revised to define a new direction. Once decision is made on the path forward, a new completion date will be established. Plans are to work this task until the next meeting in October and finalize task then.

10/28/2015 Fall 2015 meeting - Draft has been completed; a final team review will be performed and once

completed the document will be sent to the Quality Team Lead review. If acceptable, the document will be sent to Safety Team Lead for publication on the EFCOG website. Estimated Completion Date revised to 1/30/2016.

Description of Savings:

DOE Sponsor(s): Duli Agarwal

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Working Group **Quality Assurance**

Task Group **Policy and Procedures**

Task Sheet Number	Task Start Date	Estimated Completion Date
P&P-16-01	3/15/2016	3/31/2017

Coordinate with Other EFCOG Working Group

Task Title: Guide for Large Scale Captial Procurement Projects using DOE O 413.3B

Task Description: Develop a guide that will provide project teams information to help ensure subcontractors for large scale design build projects perform work to expected quality performance standards for nuclear grade tasks: The guide will entail guidance of tools/considerations throughout the DOE Order 413.3B project cycle to reduce risk in the acquisitions particularly where the supply chain may not be experienced in nuclear grade tasks. This guide will consider best practices/examples complex wide to enable teams to more effectively tailor quality strategies for specific project acquisitions.

Deliverable(s): Guidance document

Status Date: 11/8/2017 **N**ear final Draft was reviewed with additional comments accepted from around the room. Several minor adjustments were suggested to allow adaptation for other than Nuclear projects under DOE O 413.3 and accepted. Edits are being incorporated and will receive one last team review prior to team approval and sending the product up the EFCOG approval chain for eventual release as a best practice. Task remains open at this time.

History/Comments: 2/1/2017 - Draft guide is complete and has been through one round of QAP&PTG comment resolution. At the Fall 2016 EFCOG QA Meeting it was determined that the document was ready to be formatted for EFCOG Management Review and sent to the Task Group for one more round of review prior to submitting to EFCOG Management for review and approval. Estimated completion date of 3/31/2017 is anticipated to be achievable.

Description of Savings: The guide will help quality professionals and project teams better understand the available strategies to manage large scale 413.3B procurements where the supply chain may not be used to nuclear grade tasks. This tool is beneficial to enable improved implementation of 413.3B project large scale acquisitions, particularly for teams not experienced in performing such tasks.

DOE Sponsor(s): Garrett Smith

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Working Group Quality Assurance

Task Group Policy and Procedures

Task Sheet Number	Task Start Date	Estimated Completion Date
P&P-17-01	5/10/2017	11/1/2018

Coordinate with Other EFCOG Working Group

Task Title: White Paper - Signature Accountability

Task Description: Collect information from various sources and develop a white paper identifying the importance of what is meant by signature accountability or owning your signature.

Deliverable(s):

Status Date:

History/Comments:

Description of Savings:

DOE Sponsor(s):

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Working Group Quality Assurance

Task Group Policy and Procedures

Task Sheet Number	Task Start Date	Estimated Completion Date
P&P-17-02	5/10/2017	4/2/2018

Coordinate with Other EFCOG Working Group

Task Title: White Paper - Objective Evidence

Task Description: Collect information from various sources and develop a white paper identifying what is meant by term "Objective Evidence."

Deliverable(s):

Status Date:

History/Comments:

Description of Savings:

DOE Sponsor(s):

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Working Group Quality Assurance

Task Group Software Quality Assurance

Task Sheet Number	Task Start Date	Estimated Completion Date
SQA-17-01	5/12/2017	11/8/2018

Coordinate with Other EFCOG Working Group

Task Title: Standalone Software-Specific CGD Handbook

Task Description: Create a separate CGD Handbook to cover software only. Remove references to software from the overall CGD handbook jointly being written by EFCOG and DOE. The software CGD Handbook will begin with the initial software sections submitted to the CGD Handbook effort at the Fall 2015 EFCOG meeting. The SQA examples will be modified to add additional details, and a template with imbedded instructions will be added.

Lead: Kary Cook; **Team Members:** Vicki Pope, D'Ann Bretzke, Sid Aile

Deliverable(s):

Status Date:
11/22/2017

History/Comments:

Description of Savings: This will create a guide for qualifying procured Safety Software so that there is better uniformity across the DOE complex in this activity. The goal is increased quality of and confidence in procured Safety Software.

DOE Sponsor(s): Subir Sen

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Working Group Quality Assurance

Task Group Software Quality Assurance

Task Sheet Number	Task Start Date	Estimated Completion Date
SQA-17-02	5/12/2017	11/8/2018

Coordinate with Other EFCOG Working Group

Task Title: Audit Protocols

Task Description: Generate audit team protocols/guidelines for both SQA audit team and auditees. Deliver to Subir Sen as feedback.

Deliverable(s):

Status Date:
11/22/2017

History/Comments:

Description of Savings: Complex-wide understanding of conducting audits of others (internal and external) and how best to prepare, participate, and respond to audits conducted against you (internal and external). This will also set the groundwork for the SQA Audit Task Team (members across the DOE complex with SQA experience who are willing to participate on audit teams at other locations).

DOE Sponsor(s): Subir Sen

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Working Group Quality Assurance

Task Group Software Quality Assurance

Task Sheet Number	Task Start Date	Estimated Completion Date
SQA-18-01	11/9/2017	11/8/2018

Coordinate with Other EFCOG Working Group

Task Title: White Paper on How to Treat Firmware

Task Description: What is included under the banner of "Firmware". How do various sites currently treat firmware? When should it be included under the SQA Program versus a Maintenance / QA Program. What requirements or restrictions should be added to the SQA or Maintenance Program procedures to ensure that the firmware is properly tested and controlled? Etc. (Maybe look at "Middleware" and task leader can determine if it should be included here.)

Deliverable(s): Write a white paper addressing how to treat Firmware so the DOE Complex can be more consistent in the way firmware is handled.

Status Date:

History/Comments:

Description of Savings: This white paper will create a guide for defining, categorizing, and qualifying (or excluding) Firmware Safety Software (includes embedded software and some configurable software) so that there is better uniformity across the DOE complex for this type of software. The goal is increased quality of and confidence in the treatment of Safety Software that is Firmware.

DOE Sponsor(s): Subir Sen

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Working Group Quality Assurance

Task Group Software Quality Assurance

Task Sheet Number	Task Start Date	Estimated Completion Date
SQA-18-02	11/7/2017	4/24/2018

Coordinate with Other EFCOG Working Group

Task Title: SQA Task Group Mission Statement

Task Description: Create a mission statement for the SQA Task Group that defines our primary objectives and what impact we want to have on the DOE Complex. Will incorporate, as appropriate, the SQA Task Group Top 10 List of agenda items/directions

Deliverable(s):

Status Date:

History/Comments:

Description of Savings: A group mission statement will better define our purpose within the EFCOG organizations. This will help us align agenda topics and products (e.g., white papers) to support software quality across the DOE complex.

DOE Sponsor(s): Subir Sen

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Working Group Quality Assurance

Task Group Supply Chain Quality

Task Sheet Number	Task Start Date	Estimated Completion Date
SC-14-02	10/29/2014	12/30/2016

Coordinate with Other EFCOG Working Group QA Policies and Procedures, Software QA

Task Title: Commercial Grade Dedication Training utilizing the new DOE CGD Handbook

Task Description: Problem Statement: Commercial Grade Dedication programmatic controls are not fully understood and consistently applied that implement NQA-1 2008/2009a or later requirements across the complex.

Task Description: Evaluate / modify existing Commercial Grade Dedication training in conjunction with the new DOE CGD Handbook to provide consistent application of NQA-1 2008/2009a requirements.

Phases & Schedule - Evaluation different training available on CGD – 9/2015

Deliverables - Training

Deliverable(s): Training

Status Date: The previous Project Manager has a new assignment. The Handbook team will be discussing this during the 2017 Spring meeting.
3/27/2017

History/Comments: Team Liaison: Deb Williams (SW), Robert Thompson (P&P), Vince Grosso (SCQ), EPWOG (TBD), Duli Agarwal / Mary Haughey (DOE/NNSA)

Team Members: TBD

1/25/2015 - This is a new project that will be worked in conjunction with SC14-03. Work on this will not start until the handbook is at a stage where training can be determined. Will likely no be worked during the May working meeting.

10/29/2014 - New task determined during the October 2014 meeting

7/16/2015 - Task was discussed with the task team including a review of training material that has already been created. Per telephone conference - Review current EM CGD trianing module will be completed as of 9/31/2015. Estimated completion date is more inline with SC-14-03.

Description of Savings: Standardized level of rigor and understanding for commercial grade dedication activities

DOE Sponsor(s): Duli Agarwal

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Working Group Quality Assurance

Task Group Supply Chain Quality

Task Sheet Number	Task Start Date	Estimated Completion Date
SC-14-03	10/29/2014	12/30/2016

Coordinate with Other EFCOG Working Group QA Policies and Procedures, Software QA

Task Title: Commercial Grade Dedication Handbook

Task Description: Problem Statement: Commercial Grade Dedication programmatic controls are not fully understood and consistently applied that implement NQA-1 2008/2009a or later requirements across the complex.

Task Description: Provide a DOE / NNSA Commercial Grade Dedication Handbook with examples that clarify the programmatic controls for consistent application of NQA-1 2008/2009a requirements.

Deliverables: Handbook

Deliverable(s): Commercial Grade Dedication Handbook

Status Date: 10/18/2017 •Damon Haley mentioned they are working on examples and plan to have another workgroup meeting before the Fall 2017 Meeting.

History/Comments: Phases & Schedule:

1. Team Orientation – 12/2014
2. Evaluation Process – 3/2015
3. Determine guidance/gaps, areas needing clarification – 5/2015
4. Establish acceptance criteria / methodology – 6/2015
5. Put together outline draft – 8/2015
6. EFCOG Sub-Group reviews – 9/2015
7. Review on-going work (e.g., software, packaging) – 10/2015
8. Determine guidance/gaps, areas needing clarification – 12/2015
9. Identify other examples of CGD applications – 12/2015
10. EFCOG Working Group reviews (QA/ISM & EPWOG & WMG) – 1/2016
11. Resolve comments – 4/2016
12. Informal AU/PSO Review - 5/2016
13. Submit to REVCOM – 6/2016
14. Resolution of REVCOM comments – 9/2016
15. Issue Handbook – 12/2016

1/25/2015 - This is a new project that is being worked at the request of DOE. The goal is to provide a set of standard examples of acceptable dedication packages. Will be worked and included as part of the May working meeting.

10/29/2014 - New task generated during the October 2014 meeting

5/21/2015 -Task was discussed with the task team along with the Software and Policy and Procedure group.

3/27/2017 - Will be worked by a separate team working Wed & Thurs 5/10 – 11/17 of the 2017 Spring Meeting.

Description of Savings: Standardized level of rigor and understanding for commercial grade dedication activities resulting in cost avoidance

DOE Sponsor(s): Duli Agarwal

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Working Group Quality Assurance

Task Group Supply Chain Quality

Task Sheet Number	Task Start Date	Estimated Completion Date
SC-16-01	4/2/2016	12/31/2016

Coordinate with Other EFCOG Working Group Quality Assurance Policy & Procedures & Software Quality Assurance

Task Title: Update the MASL Project Guide for Site Administrators

Task Description: The current NSE QSWG MASL Project User Guide for Site Administrators, was last published in March 2014. The cover page for this document indicates that this is owned by the Business Management Advisory Council (BMAC) and the Quality Supplier Working Group (QSWG). In addition it refers to QC-1 vs. NAP-24. Neither BMAC, QSWG, or QC-1 are appropriate.

At the time this version of the MASL Project User Guide was issued, March 2014, the MASL was owned by the BMAC's QSWG. In the Spring of 2014, the MASL was transferred from the BMAC's QSWG to the EFCOG Supply Chain Quality Task Group.

2/17/16 - Computer program changes to the MASL are currently being made in a Beta format by KCP Honeywell to incorporate the requested FY2016 changes.

4/8/16 – The MASL changes were made thus allowing EM & Office of Science Sites access. The MASL Project User Guide for Site Administrators needs to be revised to update things like BMAC to EFCOG; QSWG to Supply Chain Quality Task Group; correct the other screen shots as appropriate, and make necessary corrections, to show that Commercial Grade Dedication is an assessment method.

This SCQ Task Group also need to decide on standard entries into the MASL.

Deliverable(s): MASL User Guide

Status Date: The updated user guide was added to MASL however more changes anticipated.
10/18/2017

History/Comments: 3/27/2017 - This Guide has been updated as of 8/24/2016. We just need to get it posted to the EFCOG Web-site.

Description of Savings: Revising the MASL Project User Guide for Site Administrators to be more user friendly and thereby, as users of the MASL add cost avoidance information into the MASL the more cost avoidance information will be realized.

DOE Sponsor(s): Mark Blackbum and Sonya Barnett

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Working Group Quality Assurance

Task Group Supply Chain Quality

Task Sheet Number	Task Start Date	Estimated Completion Date
SC-17-01	10/24/2016	9/30/2017

Coordinate with Other EFCOG Working Group QA Policy/Procedures and Software QA

Task Title: MASL Import/Export

Task Description: Modify the MASL database to provide the ability to allow sites to have an automated interface for importing and exporting of the MASL data.

Deliverable(s): 10/24/2016 Dawn McWilliams drafted a Project Charter
10/24/2016 Bill Wingfield provided comments to Dawn

Status Date: Will be discussed during Fall 2017 meeting
10/18/2017

History/Comments: 3/27/2017 - This will be worked at the Spring 2017 meeting.
5/31/2017 - Currently, DOE sites, other than NTS are populating their own ASL in addition to the MASL. If each site could be able to populate their ASL or the MASL and have the data update the other database, it could be huge savings. Need to identify the potential Pilot site's Platform; Business Contact; and IT Contacts for: INL, LANL, PNNL, PTX and Y12, SRS, SNL and WTP. Potential Pilot sites to be identified with the above info.

Description of Savings: Currently, DOE sites, other than NTS are populating their own ASL in addition to the MASL. If each site could be able to populate their ASL or the MASL and have the data update the other database, it could be huge savings.

DOE Sponsor(s): Garrett Smith and Sonya Barnett

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Working Group Quality Assurance

Task Group Supply Chain Quality

Task Sheet Number	Task Start Date	Estimated Completion Date
SC-17-02	11/2/2016	12/21/2018

Coordinate with Other EFCOG Working Group QA Policy/Procedures and Software QA

Task Title: MASL Cost Avoidance - How do we get additional Cost Avoidances identified?

Task Description: MASL Cost Avoidance - How do we get additional Cost Avoidances identified?

Only LLNL and LANL provided cost avoidances in the MASL in 2016. How do we get back to FY 2012 & 2013 figures?

In the past we had the following cost avoidances:

- FY 2016 = \$336K
- FY 2015 = \$112K
- FY2014 = \$170K
- FY 2013 = \$656K
- FY 2012 = \$623K

11/2/16 this new task was discussed at the EFCOG Fall 2016 meeting. One thing that would make it easier is if sites could enter a cost avoidance without being entered on the Project as a team member.

Deliverable(s):

Status Date: Will discuss during the Fall 2017 meeting
10/28/2017

History/Comments:

Description of Savings:

DOE Sponsor(s): Jim Winter

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Working Group Quality Assurance

Task Group Supply Chain Quality

Task Sheet Number	Task Start Date	Estimated Completion Date
SC-17-03	6/7/2017	12/31/2017

Coordinate with Other EFCOG Working Group Policy and Procedures

Task Title: DOE EM Single Approved Supplier List

Task Description: Provide recommendations to develop and maintain a single list of approved NQA-1 and Commercial Grade suppliers for use at DOE EM facilities. As a minimum, the list should support EM facilities, but may include all of DOE.

Deliverable(s): The Task Team will provide recommendations to DOE and EFCOG on how to proceed with use of a complex wide EM approved supplier list. The recommendation should address the actions needed to allow contractors to use and maintain the list, contractual co

Status Date: Will discuss during Fall 2017 meeting. Populating table of informatin regarding site usage. During monthly meeting; 10/18/2017 there was a discussion about how "black listing" is handled. Sites should notify other sites that are identified as using a supplier if issues are encountered. Information on the MASL is dependent on each site's program

History/Comments:

Description of Savings: Widespread use of a single supplier list could result in substantial savings
Per Task SC-17-02 MASL Cost Avoidance – How do we get additional Cost Avoidances identified?
In the past the following cost avoidances have been identified in the MASL:

- EY 2016 = \$336K
- EY 2015 = \$112K
- EY2014 = \$170K
- EY 2013 = \$656K
- EY 2012 = \$623K

Only LLNL and LANL provided cost avoidances in the MASL in 2016. The figures for 2012 and 2013 were when only the 8 NNSA sites were participating. Therefore there is the potential for large savings.

DOE Sponsor(s): Patricia Worthington

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