

EFCOG ISM & SQA Spring 2021 MEETING NOTES

Monday April 19, 2021
JOINT ISM/QA SESSION

Welcome / Logistics, *Presenter Darlene Murdoch (SRS)*:

- One of the purposes of the EFCOG is to share best practices across the complex.

EFCOG Leadership Expectations, *Presenter Trish Allen (SRS)*:

- The most innovative group is the Safety Working Group.
- All the EFCOG groups have done a lot this past year.
- Garrett Smith replaced Pat Worthington as the EFCOG ISM & QA DOE Liaison.
- The FY21 Strategic Priorities are similar to FY20's. In FY20:
 - This group did a good job for sharing COVID-19 lessons learned.
 - We had the highest level of safety performance.
- The Nuclear safety, worker safety groups were active in all the things we do, such as:
 - Creating white papers,
 - documenting lessons learned,
 - reducing cost to the lab by sharing information across the complex, and
 - supporting EFCOG.
- The Annual FY20 Work Plan showed a great amount of effort. There were:
 - 17 Best Practices, and
 - 11 Lessons Learned.
- The ISM Safety Culture FY20 Goals included:
 - Safety culture metrics.
 - Adopting a continuous improvement safety culture.
 - Engaging in Human Performance Improvement (HPI) activities, such as Peer Checking using BlueJeans.
 - The Work Planning and Control area produced guidance documents.
- The Software Quality Assurance (SQA) group worked on:
 - A better definition of Software was completed.
 - Needed improvement to the definition and requirements of the graded approach.
- The Supply Chain group:
 - Produced a Single Approval List, as well as
 - Reduced the rejection of HEPA filters.
- The EFCOG groups completed many projects, even though they were challenged with the COVID-19 pandemic; we proved we could get this work done regardless.

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DOE Priorities and Expectations for ISM/QA, Presenter Garrett Smith (DOE HQ):

- I replaced Pat Worthington as DOE Liaison to this working group.
- I wear two (2) hats, as Director of AU-30 for Nuclear Safety & for Quality Assurance (QA).
- This group is an outstanding concept, for improving the labs, I am happy to step into the role of DOE liaison for the group.
- I plan to work with the leadership of the EFCOG. My bosses are avid supporters of EFCOG. They support activism. DOE does not direct this group; they provide guidance from DOE's perspective.
- I want to praise Jan and Lisa for an excellent job on the EFCOG website.
- These are the activities and actions I will be looking at this year:
 - Meet with DOE POCs of groups in the next few weeks.
 - Become up-to-date with contacts, and build activities.
- There will be a May meeting for the Nuclear Safety QA, which has goal of collaboration across boundaries. It would be good for this group to work with the ISM/QA EFCOG group. Together the leaders can produce improvements. It is vital groups work together to making continuous improvements for the complex. Coordination, plus DOE support can make a difference. Matt & Todd can be conduit.
- An important part of EFCOG is policy shaping, and involving the right people in doing this. EFCOG does not write policy documents, the contractors in EFCOG groups are not doing this work for DOE; instead, DOE is looking for input from EFCOG, as it is good place to find SMEs to help with these policies. There are no ivory policies (perfect ones); it has to be a team development process. It is based upon many relationships and the support of the contractor community. Let's together work on these policies going forward.
- Questions:
 1. From Paul Gubac – Will you retain the role as head of Nuclear Safety? Answer: Yes.

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Balancing Competing Risks, Balancing Competing Priorities, and Balancing Competing Perspectives of Your Customer, Presenter Jerry Lipsky (SRS Site Mgr):

- Safety and Security is all about safety. I have over twenty (20) years of oversight experience, as a Facility Representative and Chief Technical Authority. I have been to most sites. Safety is a priority. We are paid to do our work safety. A project can be brought to its knees, based upon balancing risk. Need to ensure to have discussions with stakeholders when there are delays.
- We need to remove the overboard of work, the stovepipes, and the “nothing can go wrong” mentality. Contractors may need to compromise. The accomplishment will be for both safety and the mission.
- Having a touchy/feely meeting is not going to help to go after in-efficiencies. We need smart goals, not good intentions. We need to solicit input, and have mindset to do better job with better answers. In addition, we need to find savings.
- How do we do this?
 - We need to value site managers, by streamlining opportunities, where only “No” that is counted is by site manager.
 - We need to elevate issues rapidly, if you want to save money. Do not let issues languish at staff level.
 - Have open and frank discussions about issues. Get out of your comfort zone.
 - Build trust by both sides being open to hear what is in the way.
 - Assign actions to closure, hold people accountable.
 - The contractor is not obligated to confront the customer. The customer is the site rep, sometimes contractors may need to elevate issues to site rep. The contractor is the DOE customer to facilitate success. For example, you would want builder to tell you if you are doing something wrong, in the building of your home.
 - Elevate issues rapidly, when nothing is happening.
 - Staff needs to be risk accepters.
 - Go back to regulations. Clearly articulate case.
 - Safety SME does not have perspective of broad risk.
 - Cannot make everyone happy. Do not try to make everyone happy, involve everyone to get the best product.
 - Get away from your personal interpretation of regulations.
 - Do not be afraid to get a waiver.
 - Compliance to regulations is the default starting position.
 - Use existing process; look at alternate paths that are safe.
 - AU is open to exemptions.
 - NQA-1 is not regulations in DOE. QAP sets regulations, DOE approves QAP. You may invoke whole NQA-1 or part of. Do not “lawyer up” by invoking whole NQA-1.
 - Look for problems, and determine workarounds.

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- Change the organization culture. Encourage ideas. Ask this question of your people:
“What is the stupidest thing DOE is having you do?” Examples:
 - Process to solve issues, not just big items such as USQ Screenings.
 - Eliminations of duplicate forms for travel.
 - CGD Procurement and Engineering, streamline.
 - Streamlining software graded approach.
- Takeaways:
 - You all are smart and creative.
 - Look at each process, is this compliant? If being done in my house, my money, is it being done safely? Contact appropriate people to get it done safe and efficient.
 - I will be retiring in June.
 - I will send talking points of my presentation to Darlene to post to EFCOG site.

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Accident Prevention and Investigation Program, *Presenter Rizwan “Riz” Shah (DOE HQ):*

- Recommend everyone getting involved in EFCOG. Agenda items:
 1. Safety Community of Practice (SCOP), champion of safety practice. Have be open to everyone. Have SCOP be center of Local COPs. Exchange info between labs. First COP meeting 4/27 11:30-1pm CST. Come to network and share successes and lessons learned. Tell your story.
 2. Performance and Reliability Program. For assessment capacity.
 3. Human Performance Improvement (HPI). Two (2) handbooks HOI (Human and Organization Improvement) created for HPI a few years ago, now used by the complex. Go from HPI can go to HOI. New course HPI Practitioner Residence Course – make virtual in June/July. HPI Practitioner Fundamentals e-course coming soon. Good for managers. Planning to update the two HPI handbooks. For example, pilot checklist before flight.
 4. Accident Prevention and Investigation Program (APIP). Rebranding – “Big P, little I”, focus on Prevention not Investigation. Assistance vehicle, instead of regulation. Analysis course. Common lexicon. Each student has mini-accident analysis case. Artificial Intelligence tool new software database system DAVAL, feed each investigation into it, get trending data. Plan to update ORPS system.
 5. ORGEX.ENERGY.GOV, org website. Info sharing, knowledge transfer, past questions. Practitioner knowledge, management, experts, best practices, and social media.

- Questions:
 1. From Michael Petrowski – Can you provide an example of “prevention” content in the revised program? Answer: Yes, define if event reportable, or not reportable. Focus on oversight, then into lessons learned. Take data, build near-miss program. Focus on prevention, not just sent for reviewing, and have lessons learned be benefit to whole enterprise.
 2. From Juanita McKinney – Have you been involved in organization response to Cultural Engagement Survey? Yes, improvement at all levels.

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Update from the Office of Quality Management and Nuclear Safety, Presenter Chris Beaman (DOE HQ):

- New member of AU-32, previously I was QA Manager at Idaho National Laboratory. Agenda items:
 1. AU-30 Mission for Garrett Smith. Strengthen with cooperation, expand our technical competencies and be change agents. Org structure AU-30 -> AU-31 Nuclear Safety Basis & Facility Design, and -> AU-32 QA and Nuclear Safety Management Program. AU-32 is all about the regulations: 10 CFR 830 Subpart A Rule, 414.1D Order, and 414.1B for Assessments.
 2. Significant QA Policy Updates.
 - a. DOE G 414.1-4 SQA Guide has been in Revcom for last 7 weeks, review closes 4/26. After this date, team experts will produce best guide, this is a significant amount of effort.
 - b. AU-30 QAP. Includes SQA Guide, and Safety Software Central Registry. A management assessment was done a few years ago regarding the Registry, which resulted in findings, that are being addressed/worked on.
 - c. Community of Practice (COP) for DOE Quality Assurance, and SQA Support Group.
 - d. AU-32 Future Initiatives.
 - i. "Non-nuclear" safety based QA standard.
 - ii. Update DOE 414.1D Order. This initiative has not yet been docketed. However, we are interested in feedback on desired changes. Contact Chris to discuss if you would like changes.
 - e. On-going Interactions.
 - i. Info exchange between EFCOG and AU-32.
 - ii. AU-32 staff assigned to observe QA working groups.
 - iii. Part of ASME NQA-1 committee. Wide membership. Ongoing efforts seek to improve coordination between DOE and stakeholders.

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Integrated Safety Management Overview, *Presenter Darlene Murdoch (SRS):*

- Like to go over what we have done, what we are going to do.
- There was an ASME challenge between Europe and US. US is more competitive for standards. Europe embraced standards more, do better on them.
- It is good to have overlap between groups, different people, and different spins. Need more collaboration.

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Contractor Assurance System, *Presenter Norm Barker (BGS):*

- Two (2) Contractor Assurance System (CAS) teams.
- Use software business enterprise suite.
- Hanford iCAS initiative. Best practices. Invite people to join in on Wednesday.

Questions:

1. From jitaelis (Judith Jita) – Are there resources and tools at EFCOG website for the CAS groups? Yes.

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Human Performance Improvement, *Presenter Mike Petrowski (LANL):*

- Completed HPI Metrics, not real metrics, more of an inference of data.
 1. 20-2 White Paper – asking better questions to discover error precursor – what is different today – for example, co-located teammate may be sick.
 2. 21-2 Covid – teleworking, most work designed for working onsite. Virtual HPI in today's workspace. Can use Google space, GoPro. Livestream task performing is better than being on-site for some attendees.

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Safety Culture Working Group, *Presenter Adrienne King (RL)*:

- Rev 1 Guide for Monitor and Improve. White paper on metrics. For FY21:
 1. Validate metrics suggested from 2020.
 2. Capture best practices to fully telecommuting work environments, to be done by 9/30/21.
 3. Succession planning. Chair stepping down, vice-chair replacing chair, need secretary.

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Work Planning and Control, *Presenter James Byrd (SRS):*

- Group restarted.
- Had technical issues with WebEx.
- 12 Facilities, 28 members.
- Plan to share best practices and struggles.
- Many of us benefited from EFCOG.
- Two (2) best practices posted.

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Quality Assurance Overview, Presenter *Vince Grosso (NNS)*:

- **Supply Chain Quality**, Presenter *Bill Wingfield (LANL)*
 - Master Supplier List (MSL) published.
 - Point Of Contact (POC) List updated.
 - Lots of discussions, and e-Audits.
 - Looking into ways to share supplier audit information.
 - Per Christian Palay - In 2015, we reformed as the Nuclear Industry Assessment Committee - NIAC. NIAC Checklist Revised. Supplier Audit. <http://niac-usa.org>. Created because NUPIC will not allow non-nuclear orgs to join.
 - Policy and Procedures is vacant.
 - Procurement Engineering Quality, Spencer Daw. Working on Commercial Grade Dedication (CGD) with SQA chair Vicki Pope.

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Software QA, *Presenter Vicki Pope (LLNL)*:

- FY21 White Papers Published:
- Better Application of DOE O 414 to All Software, WP-2021-SQA-QA-SQA-001.
- Challenges:
 - Diversity of sites, size, mission focus, different sponsors – OS, EM, NNSA.
 - DOE O 414.1D all software, not just safety software quality assurance.
 - DOE Toolbox Qualifications.
 - Coordination and Sharing of Software Vendor Assessments.

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Procurement Engineering Quality, *Presenter Spencer Daw (INL):*

- Procurement Engineer, what is our function, Stops/Ends?
- Embedded Software Cyber Security Risks Presentation.
- From beginning of Engineering to Procurement.
- What are FAQs across the complex?
- FY21:
 - Task 5 – NQA-1 Part 1 for Procurement.
 - Task 3 – Sample CGD Plans high, medium, low.
 - Task 4 – FAQs.
 - Task 6 – Supply Chain Initiative Engineered Procurement. Effectiveness Improvement, completion of best practices.
 - Goals –
 - Continue PETG Tasks
 - Expand our reach, increase group participation.

Questions:

1. From Bill Wingfield – Who is LANL Rep?

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Closeout, *Presenters Murdoch/Grosso:*

- People, who want to join in breakouts, join in on main group meeting for day, then breakout from that meeting.
- More than 135 participants today.
- Thank you for all your work.
- Vicki makes it easy for all of us to be a part of EFCOG.
- Fall meeting not decided yet when it is, most likely will be virtual meeting. NQA-1 group 2021 meetings are all virtual.