EFCOG ISM & QA TASK GROUPS SPRING MEETING 2021

Darlene Murdoch, Director

Operational Excellence and Quality Assurance

Savannah River Nuclear Solutions, LLC

Welcome

- Great Job on the Significant Progress Since Fall Meeting!!

Logistics

EFCOG SPRING 2021

SAFETY WORKING GROUP UPDATE

PATRICIA M. ALLEN

SAFETY WORKING GROUP VICE CHAIR

APRIL 19, 2021

- Spring meeting
- New Liaison – Garrett Smith vice Pat Worthington
- Safety/COVID-19
- Thank You !!!

SUMMARY

- Top 5 Strategic Priorities for 2021 for EFCOG:
  - Safe, secure and effective operations
  - Ensuring long-term availability of critical equipment, supplies and infrastructure
  - Assuring that Projects are completed on cost and schedule
  - Recruit, develop, and retain the right people to ensure future missions needs are met
- New Initiatives by the EFCOG Board included:
  - Continued improvement in the areas of safety, security, and quality
  - Sharing of COVID-19 lessons learned
  - Improvements in human capital to assure a pipeline of future workers
  - Risk communications and stakeholder relations
  - Supply chain issues including issues brought up by COVID-19
  - Performance assurance and quality
  - Continued improvement in project management
  - Back to work/return to full operations protocols

SAFETY WORKING GROUP (SWG)

Advocating	Advocating strong, effective implementation of ISM
Seeking	Seeking out, developing, promulgating, and promoting best practices
Facilitating	Facilitating the exchange of operating experiences and information
Developing	Developing position and technical papers to support enhancement of DOE/NNSA regulations, directives, and processes, where appropriate
Providing	Providing DOE/NNSA and member companies access to networks of subject matter experts
Identifying	Identifying opportunities to save and/or avoid costs in the implementation of safety and regulatory programs
Helping	Helping member companies implement effective programs through peer reviews and consultations, and
Facilitating	Facilitating training and collaboration workshops to enhance the competency of the professionals under the SWG umbrella.

2020 ANNUAL WORK PLAN (AWP)

- SWG has good track record of completing AWP work scope each year

- 2020 AWP accomplished
  - 17 Best Practices
  - 4 Lessons Learned

ISM/QA ACCOMPLISHMENTS FOR FY2020

- **Model developed for using CAS to identify DOE complex-wide issues**
- **Paper delivered on Guidance for DOE/Corporate Review of CAS**
- **Supported the Safety Culture Improvement Panel (SCIP) annual meeting**
- **Actively maintained the website, membership list, transitioned leadership roles and engaged in succession planning for ISM subgroup**
- **Issued 20-1, White Paper – Utilizing Technology to Reduce Human Error**
- **Issued 20-3, COVID Lessons Learned – Relieve stress/anxiety in the workplace with HPI/physiological to reduce errors.**
- **All groups continued to work on their projects during the year. They maintained regular virtual meetings and always stepped up to meet and overcome challenges imposed by the global pandemic. Transitioned to a virtual meeting in the Spring and Fall.**

ISM – SAFETY CULTURE FY21 GOALS

Activity(s)	Benefit(s)	Deliverable/Key Milestone(s)
2.0 Integrated Safety Management (ISM) Subgroup		
Safety Culture (SC) Task Team		
ISM-SC-21-01 Update the EFCOG *Guide to Monitoring & Improving Safety Culture,* based on new content derived from the 2019 Safety Culture Workshop.	This activity demonstrates continuous improvement in the Safety Culture Task Team and upgrades the document to include current and best practices across the complex and industry.	Revise and issue document by 12/31/20.
ISM-SC-21-02 Explore safety culture metrics.	This activity will provide a recommendation on a set of metrics to measure safety culture for a facility or laboratory. The recommended metrics will be discussed at part of the upcoming Spring Safety Culture Workshop 2021.	Develop a safety culture metrics White Paper and publish by 12/31/20. Identify pilot projects to validate safety culture metrics by 03/31/21. Implement one pilot project by 09/30/21.
ISM-SC-21-03 Explore methods for adapting and continuously improving safety culture in a virtual work environment.	Across the DOE enterprise organizations are struggling with how to maintain and improve their safety culture during the COVID-19 pandemic. Work has transitioned to a combination of telework (virtual) and onsite. This activity will identify potential activities that could improve safety culture in a hybrid work environment.	Identify potential activities for improving safety culture in a hybrid work environment by 03/31/21. Select one activity for a pilot project by 09/30/21.

ISM –CAS FY21 GOALS

Activity(s)	Benefit(s)	Deliverable/Key Milestone(s)
Contractor Assurance System (CAS) Task Team		
ISM-CAS/HPI-21-01 Evaluate Methods for Conducting a CAS Performance Analysis.	Provide Best Practices or information basis for CAS Performance Analysis.	Issue results by 9/30/21
ISM-CAS-21-02 Evaluate Methods for Performing Issue Investigations [Joint with Human Performance Improvement Task (HPI) Team].	Provide Best Practices or information basis for performing CAS investigations with consideration of HPI perspectives.	Issue results by 9/30/21
ISM-CAS-21-03 Review the status of the Hanford's [new Issue Management System (DevonWay product)] iCAS Process.	Explore for potential broader application to other contractor sites.	Provide potential applications recommendations by 6/30/21

ISM – HPI FY21 GOALS

Human Performance Improvement (HPI) Task Team		
ISM-CAS/HPI-21-01 Evaluate Methods for Performing Issue Investigations.	Assist CAS Task Team to provide Best Practices or information base performing CAS investigations with consideration of HPI perspectives.	See CAS annual plan for details (Joint with CAS Task Team – CAS to lead, HPI to support).
ISM-HPI-21-01 Develop Best Practice: Using virtual capabilities or options for HPI application (to reduce errors).	This Best Practice will highlight and demonstrate how virtual technologies (WebEx, Zoom, BlueJeans, etc.) may be used to implement HPI practices such as peer checking, management observations, remote collaboration, emergency response, etc.	Issue Best Practice/results by 9/30/2021
ISM-HPI-21-02 Develop Best Practice: How to develop and utilize a “Portable HPI Lab platform” (parts list, build instructions, scenarios, etc.).	This best practice will highlight and demonstrate how portable devices, videos, computer applications, etc., may be used to demonstrate and practice HPI concepts such as peer checking, independent verification, procedure use and adherence, place keeping, etc.	Issue Best Practice/results by 9/30/2021

ISM - WP&C FY21 GOALS

Activity(s)	Benefit(s)	Deliverable/Key Milestone(s)
Work Planning & Control (WP&C) Task Team		
ISM-WP&C-21-01 Identify a Lead for this Work Planning & Control (WP&C) Task Team	The SWG, EFCOG, and the complex will benefit from the re-establishment of the WP&C Task Team to capture learning and develop Best Practices from different sites; this is a fundamental ISM focus area.	Lead and Vice-lead identified.
ISM-WP&C-21-02 Review and update WP&C Work Document Guidance	Organizations across the DOE complex are struggling with events caused by WP&C issues. Re-invigoration of the WP&C Guidance will assist complex with learning along with best practices.	Guidance Document updated by 9/30/2021.

QA – POLICY & PROCEDURES FY21 GOALS

Activity(s)	Benefit(s)	Deliverable/Key Milestone(s)
4.0 Quality Assurance (QA) Subgroup		
Policy and Procedures (P&P) Task Team		
QA-P&P-21-01 Graded Approach	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	Issue Best Practice on Graded Approach (updated or new) Estimated Completion Date: 3/1/2021 (revised date)
QA-P&P-21-02 Guide for EFCOG White Paper Development & Release	Guide for the various EFCOG groups for the development, approval, and release/posting process for White Papers. Currently no guidance exists on the topic and neither the process nor expectations are described, including points of contact, etc.	Issue Guide outlining the requirements for development and publication of EFCOG White Papers Estimated Completion Date: 3/1/2021 (revised date)
QA-P&P-21-03 Best Practices for QA Metrics and Methods	Develop a set of effective QA metrics and methods, applicable to various types of facilities across DOE complex. Provide guidance on collection, use/trending, and applicability to facility type to improve performance.	Issue Best Practice on QA metrics Estimated Completion Date: 3/1/2021

QA –PROCUREMENT ENGINEERING FY21 GOALS

Activity(s)	Benefit(s)	Deliverable/Key Milestone(s)
Procurement Engineering (PE) Task Team		
QA-PE-21-01 NRC vs. DOE Safety Classification and the Resultant NQA-1 Acceptance Requirements	Benchmark NRC/Nuclear Utility safety classification vs. DOE safety classification and where Commercial Grade Dedication applies to the respective NRC/Nuclear Utility and DOE classification.	Issue White Paper with recommendations based on the outcome of the study Estimated Completion Date: TBD
QA-PE-21-02 NQA-1 Requirements 3, 4, and 7 crosswalks to NQA-1 Subpart 2.14 and NAP 24-A	Perform a cross walk in engineering, procurement acceptance requirements between the primary method of acceptance documented in NQA-1 Requirement 3, 4, and 7 and the alternative method of procurement documented in NQA-1 Sub-part 2.14. Additionally, NAP 24-A will be compared against previous 2 sets of engineering / procurement acceptance requirements.	The final deliverable will be a White Paper documenting the crosswalk between the various engineering/ procurement acceptance requirements documented in the above listed standards. The information is intended to demonstrate application of engineering/ procurement acceptance requirements documented in Requirements 3, 4 and 7 contain many of the same requirements as Subpart 2.14. Additionally, it is intended to show how NAP 24-A engineering / procurement acceptance requirements compare to the NQA-1 requirements. Estimated Completion Date: TBD
QA-PE-21-03 Develop Commercial Grade Dedication (CGD) Templates that consider a variety of site conditions, safety function and installed condition, to show how differing safety requirements effect selection of critical characteristics.	The scope of this task will be to develop a CGD sample template to enable sites to demonstrate selection of critical characteristics based on the safety function and installed condition. The purpose of this task is to show that critical characteristics can vary dependent on safety function and installed condition. The long-term vision for this task is to form a library of such examples on the EFCOG website as a resource to the complex to improve efficiency and effectiveness in the implementation of their overall acceptance programs including CGD	To carry out this task, a sample form will be developed, and a workshop will be held to create 4 additional examples to be presented at the next EFCOG meeting. Estimated Completion Date: 11/6/2020

QA – SOFTWARE QA FY21 GOALS

Software Quality Assurance (SQA) Task Team		
QA-SQA-21-01 Subject Matter Experts (SME) Contacts List	Develop and maintain a list of SQA SMEs and points of contact (POCs) at DOE Complex sites. The list will be posted and integrated with the EFCOG SME list.	Listing of various site Software SMEs facilitates the sharing of information and peer discussions among software experts to drive consistency in SQA implementation Estimated Completion Date: 9/1/2021
QA-SQA-21-02 SQA-19-04 SQA Task Team Strategic Planning	Create a strategic plan and short-term (next five years) goals for the EFCOG SQA Task Team.	Provide long term strategic focus on SQA issues and tasks. Estimated Completion Date: 6/1/2021
QA-SQA-21-03 Cloud-hosted Software Guidelines	Many commercial software tools are moving to a cloud-hosted platform in which the vendor serves up the application on a server they control that is accessible via the internet. This task will address security concerns, configuration control, testing, and the qualification process for software that is nuclear/radiological safety related.	Issue White Paper: Recommendations on how to handle vendor-supplied cloud-hosted software. Estimated Completion Date: 1/7/2021
QA-SQA-21-04 Better Definition of Software	Clarify the definition of software to be used in DOE orders, guidance documents, and policies. Currently, software is defined differently in 414, 200.1, NQA-1, etc.	Issue White Paper: An alternate definition of software to be used in future DOE O 414 updates that will include software beyond safety software. Estimated Completion Date: 3/1/2021
QA-SQA-21-05 Configurable Devices	Clarify/offer guidance on managing configurable devices and virtual machines and networks. To include definitions and grading guidance, cyber security concerns, vulnerabilities, how and when to apply SQA, define critical requirements and change management.	Issue Software Guide on managing configurable devices, virtual machines, and networks Estimated Completion Date: 6/30/2021
QA-SQA-21-06 Better Application of 414 to All Software	How can DOE O 414 be modified to clarify that it is applicable to ALL software? Re-emphasize quality assurance to better apply the ten QA criteria for non-safety AND safety software. Current requirements are geared more toward traditional hardware. How to clarify so they better apply to software? Close "loopholes".	Issue White Paper: Suggest ways to make DOE O 414 more clearly applicable to ALL software Estimated Completion Date: 3/30/2021

QA - SOFTWARE QA FY21 GOALS CONT.

Activity(s)	Benefit(s)	Deliverable/Key Milestone(s)
QA-SQA-21-07 Pain Points of DOE O 414	Create a list of what works, what doesn't, and what is confusing in the current version of 414 in relation to software. Offer clarifications and solutions, if appropriate.	Issue White Paper: List of areas of confusion and implementation issues in DOE O 414.1D and, when appropriate, possible solutions. Estimated Completion Date: 1/7/2021
QA-SQA-21-08 Software Graded Approach in DOE O 414	DOE Order 414.1D and previous require implementation of a graded approach to applying the order requirements, but do not define the basis or parameters of that graded approach. This task team will outline a possible graded approach for software.	Issue White Paper: Guidance on graded approach applying QA requirements to all software (safety and non-safety). This includes: Completion Date: 1/7/2021 • Determine if changes are needed in the Graded Approach in DOE 414.1D • Determine if changes are needed in DOE G 414.1-4
QA-SQA-21-09 Software Standards and Orders	This group will explore the DOE policies, procedures, orders, and international software standards to map what they say regarding software and how this affects how DOE Complex sites manage SQA. As part of this process, they will also explore the pros and cons of alternate standards to NQA-1-2008 for Software Quality Assurance.	White Paper(s): 1. Will create a matrix of DOE impacting orders, policies, standards, and guides with an impact on software and software quality assurance and the nature of that impact/requirements. 2. Will review software-relevant industry standards and make a recommendation of standards suitable for non-safety software. Estimated Completion Date: 1/7/2021

QA - SUPPLY CHAIN FY21 GOALS

Activity(s)	Benefit(s)	Deliverable/Key Milestone(s)
Supply Chain (SC) Quality Task Team		
QA-SC-21-01 Master Supplier List (MSL) Cost Avoidance – How do we get additional cost avoidances identified	Develop method to increase use of and input of data that more closely provides the cost savings obtained by use of the MSL tool.	Develop method to increase use of MSL cost savings tool. Estimated Completion Date: 9/30/2021
QA-SC-21-02 DOE EM Single Approved Supplier List	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. Provide recommendations 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 considerations, DOE endorsement, procedures, lead auditor certification, and conduct of supplier audits	Evaluate and develop implementation strategy to implement MSL improvements identified in the EFCOG Safety Working Group Chair report from the August 2017 meeting. Implement recommendations as they apply to the QA Subgroup. Estimated Completion Date: 9/30/2021
QA-SC-21-03 Suspect/Counterfeit Prevention Improvement	Provide recommended best practices regarding criteria in DOE O 232.2A addressing legacy suspect counterfeit items. Through this task a suspect counterfeit Items clearing house has been set-up at https://opexshare.doe.gov/, This site now provides valuable information regarding suspect counterfeit items.	Provide recommended best practices on suspect counterfeit items that can aid in the revision of DOE O 232.2A. Provide recommended best practices on suspect counterfeit items that can aid in the revision DOE O 414.1D Estimated Completion Date: 9/30/2021
QA-SC-21-04 Expand Nuclear Security Enterprise (NSE) Supply Base	Goal: Increase the number of NSE shared suppliers from current 11% to 30% by FY 25	Show how we are increasing the number of shared suppliers such as: Increase from 11% in FY20 to 15% in FY21 20% in FY22 22% in FY23 25% in FY24 30% in FY25 Estimated Completion Date: 12/31/2020

QA - SUPPLY CHAIN FY21 GOALS CONT.

Activity(s)	Benefit(s)	Deliverable/Key Milestone(s)
QA-SC-21-05 MSL User Guide Issued and Published	Provide instructions to users for how to access the MSL, update the entries in the MSL, and put in cost avoidances.	MSL User Guide will be issued and published in the MSL and the EFCOG QA SCQWG Documents. Estimated Completion Date: 12/31/2020
QA-SC-21-06 HEPA Filter Test Facility (FTF) Rejections	The EFCOG QA SCQWG will help identify ways that we can reduce the rejections of filters at the FTF and during receipt inspections at the sites. An analysis of FTF and the manufacturer test reports will help in pin pointing problem areas,	Upon completion of the activity, a briefing to the Office of Nuclear Safety, AU-30, covering the recommended actions will benefit the DOE-HQ program management of the facility. Estimated Completion Date: 6/30/2021
QA-SC-21-07 Video Assessments / Audits	DOECAP, A2LA, and the Primary Standards Lab (PSL) are performing virtual assessments. Due to COVID-19 travel restrictions this may be a way to perform assessments without actually having to travel to the supplier.	Recommendations for a procedure for performing Video, eAssessments, Virtual Assessments or Remote audits Estimated Completion Date: 12/31/2020

THANK YOU FOR ALL YOU DO TO SUPPORT EFCOG

DEPARTMENT OF ENERGY
UNITED STATES OF AMERICA

DOE ACTIVITIES & EXPECTATIONS FOR ISM & QA

GARRETT SMITH

APRIL 19, 2021

(No slides used)

BALANCING COMPETING RISKS, BALANCING COMPETING PRIORITIES, AND BALANCING COMPETING PERSPECTIVES OF YOUR CUSTOMER

JERRY LIPSKY

SAVANNAH RIVER SITE MANAGER

APRIL 19, 2021

Balancing Competing Risk, Balancing Competing Priorities, and Managing the Competing Perspectives of your Customer – Jerry Lipsky Talking Points

Good afternoon and good morning.

First, the disclaimer: The opinions I am about to give are my own personal observations and perspectives as a Retiring Senior DOE Engineer. They do not necessarily reflect the official viewpoint of any DOE entity.

Second disclaimer: When I say "safe" or "safety", that is to include "secure" or "security". It includes all safety and security management programs, and this is aimed at safety of the public, the environment, and the workforce.

As a follow on to the disclaimer, these views are based on my twenty years of oversight at FIVE DOE and NNSA Field Offices (including 5 years as a deployed HQ Site Representative for Safety, Security, and Quality Assurance) and built upon my twenty years in the Navy Submarine Program. I was a Facility Rep at TEN new construction, operating, and D&D nuclear and high hazard facilities and served for the past six years as the SRS Chief Engineer/Chief Technical Authority. This time also includes bunches of ORR's RA's, ISM Reviews, QA Reviews, Project Reviews, etc. at a total of thirteen different DOE Field Offices.

Why would I fess up that I can't hold a job? I tell you this so that you understand that I am coming to you with a perspective that safety is a priority…..a value that is in the fabric of what I believe in.

However, the taxpayers are not paying us to be safe. DOE is not paying you, the contractors to be safe. We are being paid to do the nation's nuclear missions safely. If you are unsafe, the work cannot get done. In many instances, not getting the mission accomplished is either a direct safety issue or affects national security…..arguably a safety issue.

Balancing Competing Risk, Balancing Competing Priorities, and Managing the Competing Perspectives of your Customer – Jerry Lipsky Talking Points (page 2)

Unfortunately, I have seen too many instances where a specific task, job, operation, or project is brought to its knees due to the stakeholders not being able to achieve consensus on how to balance risk and get the mission accomplished. In many cases, the decisions made to appease all of the stakeholders can make a one-hour task stretch to a one-day task, a week, and so on, until we spend billions of dollars and have little or nothing to show for it.

Why is it this way?

Some sites are different, but I have seen similar enough behavior at most sites, that I believe some generalizations are appropriate for the sake of discussion. If your site or circle of influence does not have these issues, then that is good.

First off, I used to think that it was generally DOE that was driving the contractors to do things that were either overboard, unreasonable, or wasteful. It turns out that no one seems to have a monopoly on these drivers.

Stovepipes are a major contributor on both the federal and contractor sides.

What I see very often is that operations and construction folks are motivated and incentivized to get something done. The safety staffs at multiple levels are motivated by ensuring that nothing can go wrong. The operations or construction folks are often not versed enough in the requirements to push back. So, in the name of COMPLIANCE, a decision gets made that hinders the effort. Often there is not a discussion on options, other interpretations, waivers, etc.

Balancing Competing Risk, Balancing Competing Priorities, and Managing the Competing Perspectives of your Customer – Jerry Lipsky Talking Points (page 3)

My previous life in the submarine world did not suffer this paralyzing dilemma. We all were motivated and incentivized to get the mission done. Although it happened somewhere on occasion, I was NEVER party to a nuclear submarine getting underway late. Late was NOT an option. But to be fair, I NEVER saw safety compromised or even anyone considering compromising safety to get a submarine underway on time. I NEVER saw someone get contaminated or electrocuted. Accidents happened, but they were very uncommon. Clearly the expectations of safety and mission accomplishment in the navy submarine force were well aligned. We can talk hours on why DOE is different…..but that is not something I can cover in a few minutes today. DOE and contractor staff are smart, and we can do some things that will help us improve the ability to improve safety and improve efficiency.

WHAT WE DID:

After a very boring and unproductive partnering meeting between the contractor and DOE, I "politely and tactfully" mentioned that these "touchy feely" meetings were not going to solve our issues. I asked the President of the Company to give me a very senior person to work with, and we would establish a task force to go after the inefficiencies of our organizations and fix them. The premise was that both the contractor and federal staffs have smart people and have good intentions, but somewhere there was a disconnect….a misalignment in expectations, risk aversion, understanding of requirements, etc.

We put a team together and we met weekly. We solicited input form the deck plate and from all levels of the organization. We worked each issue as best we could and tried to foster a mindset that would facilitate counterparts doing a better job at arriving at a better answer. Although we have made a lot of headway, I believe we at SRS have a lot more to do. I am hoping that those that come after me will take this to the next level.

Balancing Competing Risk, Balancing Competing Priorities, and Managing the Competing Perspectives of your Customer – Jerry Lipsky Talking Points (page 4)

RESULTS:

Fiscal Year	SRNS Productivity & Efficiency Savings
FY 18	$25M
FY 19	$46M
FY 20	$54M
FY 21 YTD	$100M
Total over 36 months	$225M

HOW WE DID IT:

1. We have greatly benefitted from **VERY SENIOR DOE and CONTRACTOR SUPPORT** of this effort.
   a. The DOE Site Chief Technical Authority and Budget Manager made for a great team to understand what made sense, what the costs were, and how to provide PEMP and PBI language to drive success. Contractor provided a very senior budget savvy leader with a lot of operational experience. We both brought in an additional person to help run the day-to-day tracking of items to work.
   b. It was clearly of value to the Site Manager and Contractor President.
   c. Streamlining was discussed at monthly contractor feedback meetings.
   d. The contractor president and vice president discussed streamlining opportunities that were languishing at their monthly interface meetings with the DOE Site Manager and Deputy Manager.
   e. The only "NO" that counted was that of the Site Manager.
   f. Intentions were to not have money being wasted because a staff level agreement could not be reached.
      i. ELEVATE ISSUES RAPIDLY OR YOU LOSE CREDIBLITY

Balancing Competing Risk, Balancing Competing Priorities, and Managing the Competing Perspectives of your Customer – Jerry Lipsky Talking Points (page 5)

2. **Partnership** – we are clearly in this together for the Department and the American Taxpayer
   a. **OPEN and FRANK DISCUSSIONS** about the issues, hurdles, and challenges we face. Have meetings where parties can constructively vent.
   b. **GET OUT OF YOUR COMFORT ZONE**
   c. **BUILD TRUST**: My contractor counterpart and I had very blunt private conversations, named names, got ALL of our thoughts on the table, and did NOT violate each other's trust. Both sides need to understand and be **OPEN TO HEARING ABOUT WHAT'S IN THE WAY.**
   d. Based on these discussions, we each assigned actions to drive closure with our respective staffs or managers. We each **ACTED** on the identified items and held each other accountable for our assigned actions.
   e. The contractor is obligated to challenge the customer. The customer is always right, but the staff is NOT the customer.

Balancing Competing Risk, Balancing Competing Priorities, and Managing the Competing Perspectives of your Customer – Jerry Lipsky Talking Points (page 6)

3. **Get a path to "YES"**
    a. **Hold Court**
        i. Get the stakeholders in the room.
        ii. Stops the issue from languishing at the staff level.
            1. ELEVATE ISSUES RAPIDLY OR YOU LOSE CREDIBILITY
        iii. The staff can tell you how they interpret the rules, but there is often a lot of latitude and they are NOT the risk acceptors.
            1. Understand what the ACTUAL REQUIREMENTS are!
            2. Understand what the ACTUAL RISK is you want DOE to accept.
            3. Clearly articulate the case!
        iv. Many times, a particular safety SME does not have the broad perspective needed to understand the competing risks or relative risks.
        v. Everyone gets to be heard.
        vi. Site Manager personally discusses major disagreements with our staff when we disagree with the contractor or each other.
        vii. We encourage the use of the DPO process.
    b. Do NOT be afraid to get a waiver, exemption, Code/Standard Equivalency, etc.
        i. The perception of compliance should not drive a bad decision.
            1. Compliance is he default starting position.
            2. Ensure being compliant is also safe.
            3. Ensure being compliant is a good use of assets.
            4. If not, use existing processes to refine the rules to provide an alternative path that is also safe.
        ii. Understand who can say yes
            1. By the way, I have always had a positive result when discussing with Garrett Smith and his staff.
        iii. For example: NQA-1 sets no requirements in DOE. The QAP does. DOE approves it and if your QAP invokes NQA-1, then the QA Order allows your QAP to invoke it in whole or in part.
        iv. Don't "Lawyer" the codes, standards, orders, etc. APPLY them!

Balancing Competing Risk, Balancing Competing Priorities, and Managing the Competing Perspectives of your Customer – Jerry Lipsky Talking Points (page 7)

4. Get out there and look for the problems!
   a. Ask when doing your walk arounds
   b. Ask at meetings
   c. Encourage your people to do the same.
   d. Be visible in this effort and send the right message.
   e. Change your organization site's culture!

5. We **Incentivized** this effort with real challenging objectives to identify savings and turn on more scope.
   a. PBIs
   b. Subjective Fee

EXAMPLES:

Some of these I selected are big, some are not. Have a process to resolve all of them or you will not get the input you need. The Million Dollar ones are great, but if 5,000 people each have a $10,000 idea, that is $50 Million!

Some are easy. Some were hard.

- USQ Evaluations/Screenings - Screenings can be performed for modifications versus previous direction that evaluations be performed. Savings of $2.2M /yr. This was simply recanting a memo that was issued by DOE-SR which added additional requirements.
- ORPS and TSR Reporting - Elimination of EM addendums. Savings of $350K /yr.
- Davis Bacon Agreement - Interpretation of maintenance/repair activities Savings of $600K /yr. **I guarantee there a lot more to be saved here!**
- Travel Forecast and Approval Optimization - Elimination of duplicate forms and approvals. Savings of $395K/yr.

Balancing Competing Risk, Balancing Competing Priorities, and Managing the Competing Perspectives of your Customer – Jerry Lipsky Talking Points (page 8)

EXAMPLES (continued):

- Eliminate ASER Data Report - Not required by DOE Order and available to public electronically. Savings of $40K/yr.
- Western Sector Soil Vapor Extraction Unit - DHEC approved transition from active to passive system. Savings of $200K/yr.
- Electrical Safety Program 851 Mitigation Plan - Worker safety and health plan approved with implementation of a smart graded approach. Savings of $10+ M
- L-Area Vacuum Hose Replacement – Since the inadvertent discharge of material in a fuel region is no longer a criticality concern, the vacuum hose integrity is not credited for a criticality prevention. Lifetime savings, including personnel and materials is more than $309K.
- Exclusion of Portable/Garden Sheds (handi-houses) – Exclusion of the handi-houses from the Facility Information Management System (FIMS) would eliminate ~100 data elements to be updated annually, a condition inspection and a functional Assessment once every 5 years. Savings of $340K/yr.
- CGD and Procurement Engineering Streamlining – Streamlined the conservativeness of quality requirements to accomplish an innovated approach as necessary to accomplish the requirements and reduce cost. Savings $900K/yr.
- General Employee Training (GET) Online vs. In-Person – General Employee Training (GET) went from twice a week in-person to an online self-paced version thus reducing the completion time from 5 to 3 hours. Savings of $500K/year.
- Software Graded Approach Streamlining – DOE agreed to the QA Graded Approach Plan which enabled SRNS to implement improvements that significantly reduced the implementation cost for training and document revisions. Savings of 400K/year.

I will be discussing this further tomorrow with the Procurement Engineering Group

Balancing Competing Risk, Balancing Competing Priorities, and Managing the Competing Perspectives of your Customer – Jerry Lipsky Talking Points (page 9)

SO take this away:

Each of you is smart and creative. Whether you are in management or on the deck plate, look at each task, process, project, or correspondence that comes your way and ask yourself:

1. Is this compliant?
2. If this was being done in my house with my money, would I do it this way?
3. If not, what way would I do it and be safe?
4. Is that new way compliant?
5. If yes, do it.
6. If no, communicate with the right people to obtain appropriate interpretations, waivers, exemptions, etcetera to get to a position of safe, compliant, and EFFICIENT.

This will be my last EFCOG meeting as a federal employee. I am retiring to the Florida Keys in June (hopefully). Thank you all. It has been a pleasure to serve with all of you these past twenty years.

Questions?

Contact Info:
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ORGANIZATIONAL CULTURE EFFORTS OVERVIEW

RIZWAN "RIZ" SHAH

APRIL 19, 2021

Agenda

- SCIP Community of Practice
- Performance and Reliability Program
  - HPI
  - APIP
- Organizational Excellence Web Experience

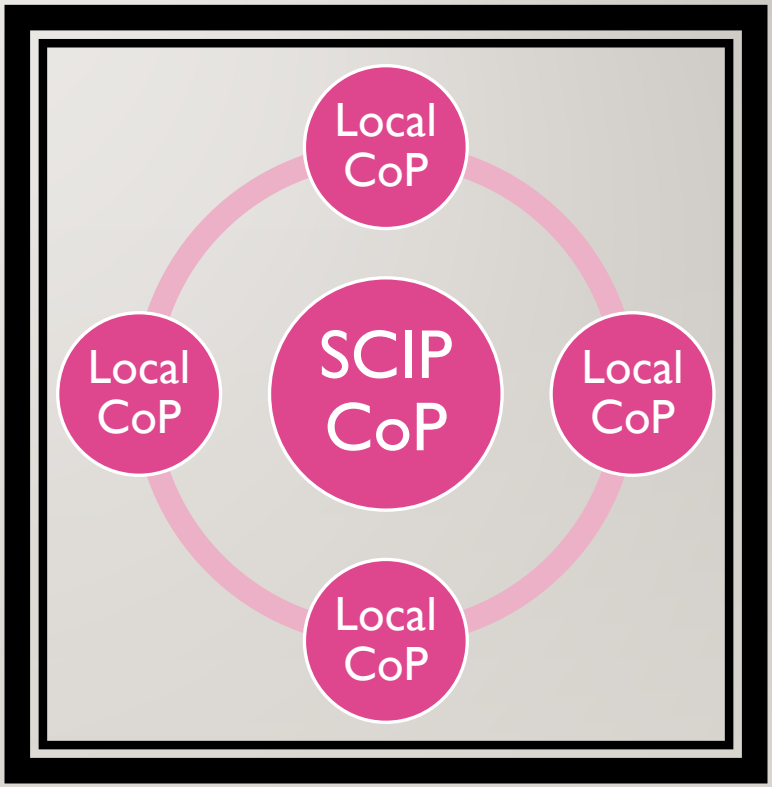
SCIP COP

A community of practice is a group of professionals who interact with each other within an organization, across organizational units, or even organizational boundaries; have a common interest or field of application in certain work-related topics; and share their knowledge on a regular basis.

The objective is for members to learn and support one another to create, capture, spread, retain, and apply knowledge relevant to the organization.

MISSION

SCIP CoP facilitates the exchange of information amongst DOE Federal and Contractor employees culture improvement communities of practice.



SCIP COMMUNITY OF PRACTICE

TUESDAY, APRIL 27TH, 1130AM – 1PM EST

Let's connect across the enterprise and share insights and tools to help build your community.

Are you wondering...

- How do I get people interested in building a positive culture without having to resort to cash prizes?
- Are we getting stale in our organizational improvement efforts?
- Where have all the good ideas gone?

The SCIP Community of Practice quarterly huddle may be just what you seek.

Spring has sprung, and it is time to cross-pollinate. That starts here; tune into the SCIP CoP quarterly huddle where you have the opportunity to share successes and lessons learned on our journey towards organizational excellence.

You have stories on how a positive organizational culture saved someone's mission. We want to hear them!!! Join us and tell your story

PERFORMANCE AND RELIABILITY PROGRAM

The Vision of the Performance and Reliability Program is to build a culture, where:

- organizational excellence,
- optimized performance, and
- reliable operations

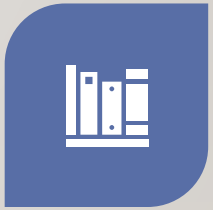
are encouraged, supported, and implemented by every individual at every level at DOE.

HUMAN PERFORMANCE IMPROVEMENT

COMPLETED HPI PRACTITIONERS RESIDENCE COURSE

PILOTING HPI FUNDAMENTALS E-LEARNING COURSE

CREATE HPI FOR MANAGERS COURSE



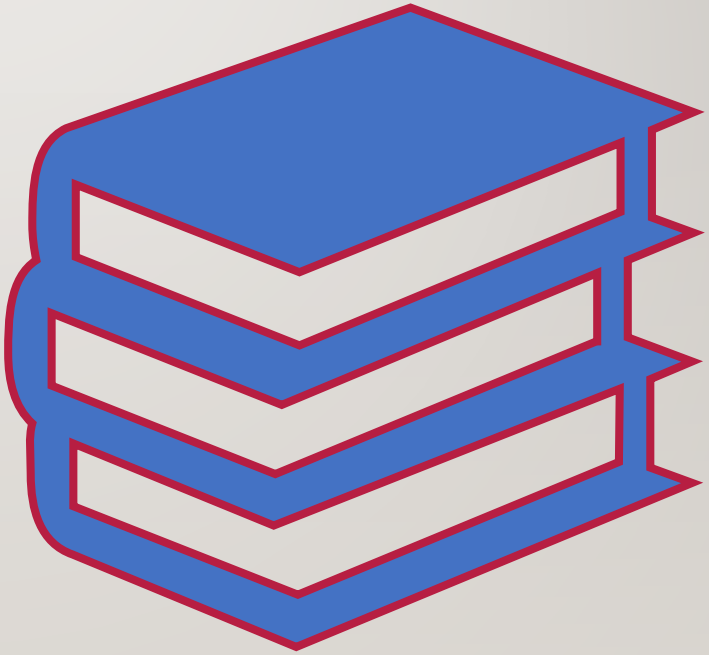
UPDATE HPI HANDBOOKS (VOLUME 1 & 2)

Human and Organizational Improvement

APIP

Accident Prevention and Investigation Program

- update EIP-400 curriculum
- ensure common lexicon across all DOE "analysis" course



"Big P, little I"

ORGANIZATIONAL EXCELLENCE

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U.S. DEPARTMENT OF ENERGY

Search

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New forum topics

- SCIP annual meeting
- Best practices such as guides, lessons learned, workshop proceedings, promotional material, etc.
- SCIP on PowerPedia
- SCIP purpose
- Safety Culture Sustainment Plans

More

Active forum topics

- EFCOG
- Best practices such as guides, lessons learned, workshop proceedings, promotional material, etc.
- SCIP annual meeting
- Safety Culture Sustainment Plans
- SCIP on PowerPedia

More

Recent forum comments

- I had not. Here is the 3 days 50 min

orums/safety-culture/general-discussion/scip-annual-meeting

Events

SCIP Annual Meeting
05/21/2018 to 05/24/2018
QA & ISM Working Group Meeting
04/23/2018 to 04/27/2018
SCIP Members Meeting
04/04/2018
VetSuccess Workshop
!018 to 04/06/2018

News

Russia to expel 60 U.S. diplomats, close St. Petersburg consulate

Sec. Perry begged to save nuclear plants

Sec. Perry praises SLAC researchers, talks energy obstacles

Opinion Sec. Perry: Rising LNG exports a sign Trump administration's infrastructure policies are paying off

Simon Edelman: "Why I blew the whistle on the Rick Perry meeting"

For more news >

Tweets by @ENERGY

Energy Department @ENERGY

Looking for quick and easy ways to save energy this #EarthDay?

EFCOG SPACE ON ORGEX

EFCOG

Forum	Topics	Posts	Last post
Project Delivery Working Group The Project Delivery Working Group (PDWG) is chartered to leverage the expertise and experience of DOE's contractors to address challenges and achieve improvements in project delivery across the complex. The PDWG's purpose is to seek out, promote, and share the best practices and processes for successful project delivery at DOE facilities. This will be achieved through contractor subject matter experts and professionals from across the complex, working together and in partnership with DOE to strengthen and advance the development, management, and delivery of projects (and project-like activities) in support of DOE missions. The PDWG's portfolio includes those broad-based, interrelated elements across the project lifecycle critical to successful delivery. Areas of focus include: Acquisition strategy and planning Earned value management Cost estimating and scheduling Management of complex projects Integration of safety into the design process and other technical processes Contract alignment and incentives Start-up and commissioning	0	0	n/a
Safeguards & Security To continuously improve Safeguards & Security (S&S) performance across DOE by focusing on the protection of Special Nuclear Material (SNM), sensitive information, classified matter, assets, and personnel. The SSWG adds value by bringing together the best and brightest DOE and industry S&S professionals to analyze issues and develop cost-effective solutions that bring clarity and continuous improvement to the DOE missions.	0	0	n/a
General Discussion	3	3	Use of Org Excellence Platform by Garrett Smith 01/28/2021
Waste Management Working Group The Waste Management Working Group (WMWG) is chartered to leverage the expertise and experience of contractors to DOE. The purpose of the WMWG is to seek out and promote the best management and operating practices, cost effective technologies and disposal options for all waste streams generated at DOE facilities whether destined for DOE or commercial facilities. The WMWG is focused on complex-wide integration and technology transfer while supporting cost effective and efficient waste options. This will be achieved in a way that enhances complex wide communication and maintains a priority on safety, environmental stewardship, and security. In addition to the overarching main nuclear waste management focus of the WMWG, the WMWG incorporates the efforts of four technical Subgroups: High-Level Waste National Laboratory Packaging & Transportation Decontamination & Decommissioning (D&D) As part of the recent restructuring within EFCOG, the inventory of lessons learned and best practices generated by the Decontamination & Decommissioning (D&D) and Facility Engineering Working Group will be maintained and made available to the users within the DOE complex. Future specific D&D and/or environmental remediation issues related to waste characterization, minimization, disposition, and recycling/reuse will be addressed under ad hoc task groups to be agreed to with DOE on a case by case basis.	0	0	n/a
Safety Working Group The Safety Working Group (SWG) is chartered to assist member companies in attaining and maintaining the highest levels of safety and regulatory performance in the operation of DOE/NNSA facilities/projects. The SWG achieves this by: Seeking out, developing, and promoting best management and operating practices Facilitating the exchange of operating experiences and information on safety/regulatory programs and their effectiveness, as well as designing studies and developing position and technical papers to inform DOE/NNSA regulations and directives processes where appropriate Providing DOE/NNSA and member companies with access to a network of subject matter experts Identifying opportunities to save and/or avoid costs in the implementation of their safety and regulatory programs Assisting member companies in implementing effective safety and regulatory programs through peer reviews and consultations Arranging for training and awareness workshops to enhance the competency of safety professionals	3	4	Industrial Hygiene and Safety Technical Task Group by David Weitzman 11/27/2018
Training Working Group The Energy Facility Contractors Group (EFCOG) Training Working Group (TWG) is chartered to leverage the expertise and experience of contractors to the U.S. Department of Energy (DOE). The purpose of the TWG is to ensure complex wide collaboration and integration to attain and maintain the highest levels of training, reduce redundant training and assist in improving performance in the operation of DOE facilities and projects.	0	0	n/a

QUESTIONS?

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Let me not fail them

QUALITY ASSURANCE

CHRIS BEAMAN

APRIL 19, 2021

UPDATE FOR THE EFCOG QA & ISM WORKING GROUP FROM THE OFFICE OF QUALITY ASSURANCE & NUCLEAR SAFETY MANAGEMENT PROGRAMS

CHRIS BEAMAN

APRIL 19, 2021

Mission Success
EHSS
Office of Environment, Health, Safety and Security

PRESENTATION OBJECTIVES

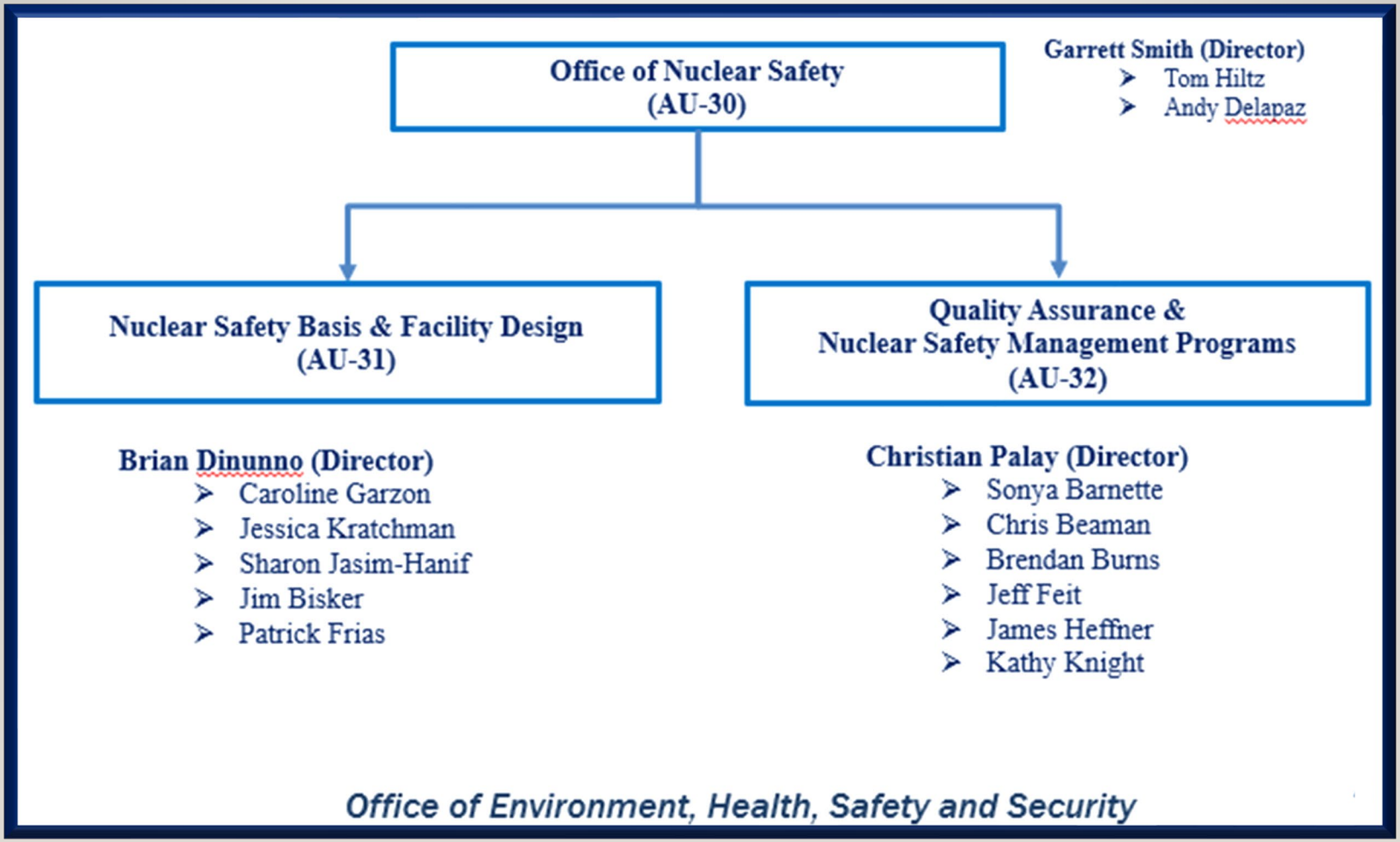
- AU-30 Mission
- AU-30 Organization Update
- Significant QA policy updates
- AU-32's Current Priorities
- Future Initiatives
- On-going Interactions

THE OFFICE OF NUCLEAR SAFETY…

…provides assistance to DOE Headquarters and Field Elements in implementation of policy and resolving nuclear safety, facility safety, and quality assurance (QA) issues. The Office works proactively with Headquarters and Field Offices to foster continuous improvement and nuclear safety excellence.

We seek to strengthen cooperation, expand our technical competence, and be a change agent for more effective and efficient nuclear safety and quality assurance policy.

AU-30 Organization Updates



Rule, Directives, & Technical Standards

Quality Assurance

- 10 CFR 830, Subpart A, (QA Rule)
- DOE Order 414.1D, (QA Order)
- DOE Guide 414.1-1B (Management & Independent Assessments Guide)
- DOE Guide G 414.1-2B (QA Guide)
- DOE Guide G 414.1-4 (Software QA Guide)
- DOE-HDBK-1221 (S/CI Resource Handbook)
- DOE-HDBK-1230 (CGD Application Handbook)

Training

- DOE-STD-1070
- DOE-HDBK-1076
- DOE-HDBK-1078
- DOE-HDBK-1118

Readiness Reviews

- DOE Order 425.1 (Readiness)
- DOE-STD-3006
- DOE-HDBK-3012

Technical Standards Program

- DOE O 252.1A, (TSP)

Operations

- DOE Order 422.1 (ConOps)
- DOE-HDBK-1214
- DOE-HDBK-1226

Facility Reps

- DOE-STD-1063

Filter Test Facility

- DOE-STD-3020
- DOE-STD-3025

UPDATES

- DOE G 414.1-4, *Software Quality Assurance Guide for Use with DOE Order 414.1D, Quality Assurance*

CURRENT PRIORITIES

- AU-30 Quality Assurance Program
- Software Quality Assurance Guide
- Safety Software Central Registry
- Communities of Practice
  - DOE Quality Assurance Community of Practice
  - Software Quality Assurance Support Group

FUTURE INITIATIVES

- "Non-nuclear" safety-based quality assurance standard

- Update to DOE Order 414.1, *Quality Assurance*
  - Not yet docketed however, we are interested in feedback on desired changes

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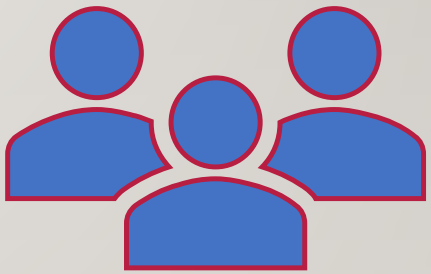
ON-GOING INTERACTIONS

- Information exchange between the EFCOG communities and AU-32
  - AU-32 staff have been assigned to observe the various QA working groups
  - EFCOG acts as a conduit for feedback on policy improvements

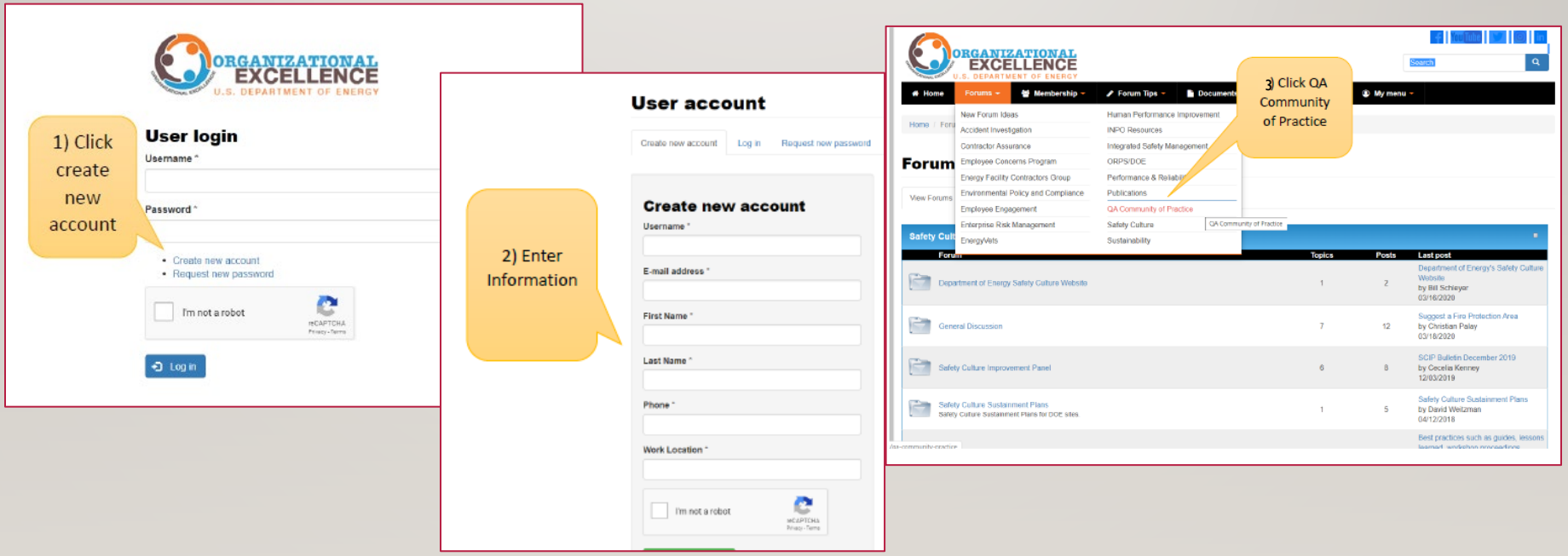
ON-GOING INTERACTIONS, CONT.

- ASME NQA-1 Committee
  - Wide membership and participation from across the complex
  - Ongoing efforts seek to improve coordination & communication between DOE members and balance DOE stakeholder's interests
  - DOE Standards Executive (AU-30 Director) desires increased coordination in keeping with the provisions of OMB A-119
    - DOE support provided to a voluntary consensus standards activity must be limited to that which clearly furthers DOE missions, authorities, priorities, and is consistent with budget resources.



DOE ORGANIZATIONAL EXCELLENCE FORUMS

https://orgex.energy.gov/



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Mission Success
EHSS
Office of Environment, Health, Safety and Security

COFFEE BREAK !

10 MINUTES