Department of Energy
National Nuclear Security Administration
Washington, DC 20585
July 14, 2003

The Honorable John T. Conway
Chairman
Defense Nuclear Facilities Safety Board
625 Indiana Avenue, NW.
Washington, D.C. 20004

Dear Mr. Chairman:

Enclosed for your information are copies of the memoranda from National Nuclear Security Administration (NNSA) Site Offices validating that the contractors are complying with 10 CFR 830.121(c)2 regarding integrating quality assurance with Integrated Safety Management System. These memoranda were in response to Quality Assurance Improvement Plan (QAIP)Action 3.1 and were previously provided to your staff. We have reviewed the memoranda and concluded that QAIP Action 3.1 is complete.

We have also enclosed copies of memoranda from all NNSA Site Offices, except Nevada, acknowledging that they have programs in place to evaluate quality assurance as part of their integrated assessment process consistent with DOE Policy P450.5 and DOE Order O414.1. Nevada Site Office is scheduled to provide us an acknowledgment memorandum by August 30, 2003. QAIP Action 3.2.1 will be complete upon receipt of the Nevada Site Office memorandum.

If you have any questions regarding the enclosures, please feel free to have your staff contact Rabi Singh at (301) 903-5864 or Xavier Ascanio at (301) 903-3757.

Sincerely,

Everet H. Beckner
Deputy Administrator
for Defense Programs

Enclosure

cc w/enclosures:
L. Brooks, NA-1
M. Whitaker, DR-1
J. Mangeno, NA-3.6

DOE F 1325.8

United States Government **Department of Energy**

memorandum

National Nuclear Security Administration
Kansas City Site Office
Kansas City, Missouri 64141-0202

DATE: FEB 19 2003

REPLY TO KCSO/OQA

SUBJECT: **Improvement Action 3.1 of the Quality Assurance Improvement Plan for Defense Nuclear Facilities, dated October 21, 2002**

TO: Everet H. Beckner, NA-10

Improvement Action 3.1 of the Quality Assurance Improvement Plan for Defense Nuclear Facilities, dated October 21, 2002 requires a validation memorandum from each Site Office concerning the M&O Contractor's integration of Quality Assurance and Integrated Safety Management System (ISMS).

10CFR830.120 applies to processes and facilities affecting nuclear safety. As a nonnuclear manufacturing facility, the Kansas City Plant's involvement in nuclear functions is limited to those product it manufactures that later become part of nuclear assemblies at other facilities. The KCP has no facilities engaged in nuclear operations. Therefore, performance to the 10CFR830.121 QAP for select production processes and components is the critical feature for Honeywell FM&T in meeting the requirements of 10CFR830.120. The NNSA Development & Production Manual and its quality criteria, QC-1, specifically control the KCP's production activity. KCSO verifies implementation of the quality assurance program for these select components through the QC-1 based program of product verification and quality assurance surveys. This inspection and survey activity is performed on a continual basis by the KCSO QA staff.

The NNSA Kansas City Site Office certifies the FM&T's Quality Management System integrates the requirements of 10CFR830.121 as limited above and ISMS, along with all other NNSA operating requirements, into a single business system. FM&T operates a single integrated Quality Management System, called "Command Media", which contains all the plant operating requirements, processes, and procedures. Multiple quality requirements from DOE Order 414.1A, 10CFR830.120, QC-1, 10CFR71, etc. are all incorporated into that single quality management system. This system is independently certified to the ISO 9001 and 14001 international quality standards twice per year.

The FM&T ES&H Management Plan specifically states that the plan is an integrated component of the FM&T Quality System. As such ES&H activities use the same plant systems for monitoring and measurement, corrective and preventive action, records and information management, self-assessment, and leadership review that all plant activities use.

Since Action 3.1 of the Improvement Plan is focused on QA programs associated with vital safety systems at nuclear facilities, no additional action for the KCP under the improvement actions is recommended. The QA program for weapon components is well documented and federal assessment is fully implemented.

I believe this fulfills the intent of Action 3.1. If you have any questions, please feel free to contact me, Gregory Betzen at 816-997-3352 or Patrick Hoopes at 816-997-7003 to discuss this further.

Elizabeth D. Sellers
Manager
Kansas City Site Office

United States Government

Department of Energy
National Nuclear Security Administration
Los Alamos Site Office
Los Alamos, New Mexico 87544

memorandum

DATE: FEB 21 2003
REPLY TO ATTN OF: OPM:1JC-001
SUBJECT: DOE Quality Assurance Improvement Plan

TO: Everet H. Beckner, Deputy Administrator for Defense Programs, NNSA/DOE, NA-10/FORS

This memorandum provides a response and the status of Los Alamos Site Office (LASO) actions concerning the DOE Quality Assurance Improvement Plan, dated October 21, 2002, Action number 3.1, which states:

NA will validate that contractors are complying with 10 CFR 830.121(c)(2) regarding integrating QA with ISMS.

Deliverable: Validation Memorandum to Deputy Administrator for Defense Programs

Completion Date: February 2003

Response:

The Los Alamos National Laboratory (LANL) *Integrated Safety Management (ISMS) Description Document* (LAUR-98-26837), Rev. 4, section 4.1.7, specifies the programmatic hierarchy for integrating Quality Assurance with ISMS. The *Integrated Safety Management Description Document* establishes the safety management system, provides the institutional system for setting, implementing, sustaining safety performance, and meeting environmental expectations of the Laboratory. Laboratory Performance Requirement document LPR 308-00, *Integrating Quality Management*, is identified in the *Integrated Safety Management Description Document* as the quality umbrella document and establishes the quality requirements for the Laboratory. We have examined these documents and validate that programmatically, the Laboratory has integrated quality assurance with the Safety Management System (SMS).

Although these documents provide the programmatic integration of quality assurance with SMS, implementation at the working level is where the value of these concepts is realized. The LANL is currently addressing corrective actions concerning the failure to implement its quality assurance program (NTS-ALO-LA-LANL-LANL-2000-0014, Failure to Implement LANL Quality Assurance Plan). Corrective action measures for this noncompliance include actions that crosscut all Laboratory

activities, which will result in an *Institutional Quality Management Plan* (IQMP) and revision to various related program and implementing procedures/documents.

Currently, this implementation plan and related procedures are in the final stages of approval. We have verified that these assure integration of QA and SMS, and as LANL executes against the QAMIP we will validate that our contractor is in compliance with 10 CFR 830.121 (c) (2) regarding integrating QA with ISMS. LASO will be overseeing the implementation and development of the LANL Institutional Quality Management Implementation Plan and associated documentation. This oversight will include verification of integration of QA and SMS.

Questions or comments regarding this matter should be addressed to Herman Le-Doux at (505) 665-8432.

Ralph E. Erickson
Manager
Los Alamos Site Office

cc:

R. Singh, NNSA-NA-12, HQ/GTN
D. Miotla, NNSA-NA-117, HQ/GTN
E. D. Martinez, OOM, LASO
H. Le-Doux, OPM, LASO
J. Vozella, OFO, LASO
G. Schlapper, OOM, LASO
E. Rodriguez, OPM, LASO
J. Cedillos, OPM, LASO
Jim Angelo, LANL. MS-A104
Jim Holt, LANL, MS-A104

Department of Energy
National Nuclear Security Administration
Nevada Operations Office
P.O. Box 98518
Las Vegas, NV 89193-8518

NV

FEB 20 2003

Everet H. Beckner, Deputy Administrator, Office of Defense Programs, NNSA/HQ
(NA-10) FORS

VALIDATION THAT CONTRACTORS ARE COMPLYING WITH 10 C.F.R. 830.121 (c) (2) REGARDING INTEGRATING QUALITY ASSURANCE WITH INTEGRATED SAFETY MANAGEMENT SYSTEM (ISMS)

Reference: E-mail, Singh to Horton, dtd 1/21/2003

As requested in the above mentioned e-mail, I am providing a response to Quality Assurance Implementation Plan (QAP) Execution.

In accordance with Improvement Action 3.1 of the Quality Assurance Improvement Plan for Defense Nuclear Facilities dated October 21, 2002, I am informing you that NNSA Nevada Site Office has completed the subject action. A review was completed of the Bechtel Nevada QAP and ISMS description and determined to be in compliance with the requirements of 10 C.F.R. 830.121 (c) (2). The requirements of ISMS are integrated and/or referenced in appropriate sections of the QAP.

If you have any questions, please contact me at (702) 295-3211 or my point of contact Donald G. Horton at (702) 295-6714 or hortond@nv.doe.gov.

Kathleen A. Carlson
Manager

PAD:DGH-3017
AOM 04-01

cc:
Xavier Ascanio, NNSA/HQ (NA-124) GTN
D. H. Crandall, NNSA/HQ (NA-11) FORS
R. J. Hardwick, NNSA/HQ (NA-124) FORS
D. M. Miotla, NNSA/HQ (NA-117) GTN
R. N. Singh, DOE/HQ (NA-12) GTN
F. A. Tarantino, BN, Las Vegas, NV

DOE F 1325 8

United States Government **National Nuclear Security Administration**
Savannah River Site Office (SRSO)

Memorandum

DATE: FEB 24 2003

REPLY TO ATTN OF: SV (Zweifel, 803-208-3689)

SUBJECT: Validation of Quality Assurance (QA) Integration with Safety Management

TO: Tyler Przybylek, Acting Chief Operating Officer, National Nuclear Security Administration (NA-2)

As required by Action 3.1 of the Department of Energy (DOE), Quality Assurance Improvement Plan (QAIP) for Defense Nuclear Facilities, October 21, 2002 and approved by the Secretary of Energy, November 22, 2002, the NNSA-SRSO has validated that the contractor at the Savannah River Site (SRS) has integrated Quality Assurance (QA) into the Integrated Safety Management System (ISMS).

The integration is accomplished through the SRS contract, and the flow down of requirements into implementing policies, plans, procedures and manuals. The NNSA-SRSO and contractor management continues to promote a quality and safety culture that further enhances integration and performance.

The NNSA-SRSO and contractor perform oversight and assessment of the QA and ISMS programs that have resulted in the verification of program implementation and performance, as well as, continuous improvement. In June 2002, the NNSA Headquarters, NA-53, performed a comprehensive assessment of the NNSA-SRSO oversight of the contractor's performance that included implementation of the ISMS and QA integration. The NNSA Office of Defense Programs, DP-45, performed a complex review of QA activities for best practices and lessons learned. The report, Quality Assurance Best Practices Reviews and Initiatives, September 2001, provides documentation of QA integration at NNSA-SRSO facilities.

We will continue to support the Defense Programs effort to effectively coordinate execution of the QAIP actions. If you have any questions, please contact me or Daniel Zweifel of my staff.

Original signed by

Edwin L. Wilmot, Manager
National Nuclear Security Administration
Savannah River Site Office

SV:DNZ:mp

RB-03-0046

cc: E. Beckner (NA-1), HQ
D. Beck (NA-12), HQ
Joel Smith (NA-122), HQ
X. Ascanio (NA-124), HQ
R. Singh (NA-124), HQ

DOE F 1325.8
(10/00)

United States Government

Y-12

Department of Energy
National Nuclear Security Administration

memorandum

DATE: February 24, 2003

REPLY TO
ATTN OF: Y12-40:Glasman

SUBJECT: **QUALITY ASSURANCE IMPROVEMENT PLAN FOR DEFENSE NUCLEAR FACILITIES ACTION ITEM 3.1**

TO: Dr. Everet Beckner, Deputy Administrator for Defense Programs, NA-10, FORS

The objectives of Quality Assurance (QA) and Integrated Safety Management (ISM) are to provide structured management systems and processes to ensure products and services are provided safely and in accordance with customer requirements.

To this end, the QA Rule, 10 CFR 830.121(c)(2), required that QA and ISM be linked such that QA program descriptions incorporate ISM. To ensure these requirements were met, the Y-12 Site Office reviewed the BWXT Y-12 Quality Assurance Program Description and the Integrated Safety Management System (ISMS) Program Description to determine if these programs jointly contain sufficient mutual requirements to ensure the QA Program is sufficiently grounded in ISM principles. The results of these reviews indicated that the BWXT Y-12 QA Program was fully consistent and supportive of ISM functions and guiding principles, and therefore meets the requirements contained in the QA Rule. In particular, the BWXT QA Program Description details the methodologies employed to do work processes safely and in accordance with established procedures. It also describes mechanisms in place to seek continuous improvement by identifying and correcting findings and preventing recurrence.

Further, results of independent and management assessments conducted to assure QA and ISMS implementation concluded that the Y-12 Site Office and BWXT Y-12 were implementing QA and ISMS Programs in a satisfactory manner.

Based on these reviews and assessments, YSO validates that BWXT Y-12 complies with 10 CFR 830.121(C)(2) regarding integration of QA with ISMS.

If you have any questions, please contact Michael Glasman at 865/574-3499 or Jerry Robertson at 865/576-0223.

for William J. Brumley
Manager
Y-12 Site Office

cc:
R. Singh, NA-124, GTN
T. B. Olberding, Y12-50, YSO
K. D. Ivey, Y12-40, YSO
D. K. Hoag, Y12-30, YSO
S. L. Daly, Y12-20, YSO
J. R. Martin, Y12-10, YSO
T. D. Sherry, Y12-01, YSO
M. M. Glasman, Y12-40, YSO
C. T. Shen, Y12-40, YSO

DOE F 1325.8

Pantex

United States Government **Department of Energy**

National Nuclear Security Administration
Pantex Site Office

Memorandum

DATE: FEB 24 2003

REPLY TO: PXSO:WQS:MLU

SUBJECT: Quality Assurance Improvement Plan for Defense Nuclear Facilities, Validation of QA and ISM Integration

TO: Everet H. Beckner, Deputy Administrator for Defense Programs, NNSA, NA-10

As required by Action 3.1 of the U.S. Department of Energy, Quality Assurance Improvement Plan (QAIP) for Defense Nuclear Facilities, October 21, 2002, and approved by the DOE Secretary November 22, 2002, the NNSA Pantex Site Office (PXSO) has validated that the NNSA Defense Program's contractor (BWXT) at the Pantex Site has integrated Quality Assurance into the Integrated Safety Management System (ISMS), therefore, BWXT is complying with 10 CFR 830.121(c)(2), *"Integrate the quality assurance criteria with the Safety Management System, or describe how the quality assurance criteria apply to the Safety Management System."*

The Quality Management System is an integral part of Integrated Safety Management at the Pantex site. BWXT Pantex's description for the Quality Management System is contained in the Quality Assurance Program Description (QAPD), Issue 6, dated September 2002. BWXT Pantex's description for Integrated Safety Management is contained in the Integrated Safety Management Description (ISMD), PLN 93, Rev 9, dated September 2002.

As described in the ISMD, the framework for Integrated Safety Management is represented by the structure of the Management Integration & Controls Standards/Requirements Identification Document (MIC S/RID). The MIC S/RID is a site-level document that presents the Integrated Safety Management program elements that all organizations are to follow in the conduct of work. The MIC S/RID structure is aligned with the core safety management functions of ISM and embodies the Guiding Principles as described in DOE P 450.4, *DOE Safety Management System Policy*. Title 10 Code of Federal Regulations Part 830, *Nuclear Safety Management*, is incorporated into BWXT Pantex Prime Contract (DE-AC04-00AL66620) through the MIC S/RID. A crosswalk or map of the integration of QA and ISM within the MIC S/RID is available upon request.

The MIC S/RID, along with performance expectations, performance metrics, continuing independent assessments, and ISM requirements as documented in the ISMD, are the means by which BWXT Pantex fully integrates and validates quality and safety initiatives and implementation into business and work processes. All issues from NCRs, occurrences, and internal or external assessments are categorized per ISM core functions and screened against 10 CFR 830.120, and trended accordingly.

Integration and performance are further enhanced by the NNSA and contractor management continued support, emphasis on continued improvements, and involvement in the quality and safety culture.

An external assessment of the Quality Assurance Program was performed by the Albuquerque Operations Office, Environment, Safety and Health Division on March 11-15, 2002. The assessment was conducted in accordance with ISM principles and its five core functions. The audit concluded that the Pantex Quality Assurance Program has been and is being significantly improved by BWXT Pantex Management. The summary also stated that senior management commitment and resource dedication are steering effective application of quality management systems.

If you have further questions, please contact Michael Ulshafer of my staff at 806-477-3145 or Steve Erhart at 806-477-6150.

Steve Erhart for
Daniel E. Glenn
Manager

cc:
D. Beck, NA-12, HQ
J. Smith, NA-122, HQ
X. Ascanio, NA-124, HQ
R. Singh, NA-124, HQ
F. Gregory, NA-121.3, AL
P. Chimah, ESHD, AL
S. Erhart, SSTA, PXSO, 12-36A
J. Kirby, AMO, PXSO, 12-36A
M. Ulshafer, WQS, PXSO, 12-23
E. Burkholder, Acting, AMOA, 12-36
M. Reaka, PWT Ltd., 12-36A
V. Hughes, QAD, BWXT, 12-6D
P. Butler, QAD, BWXT, 12-107A

Department of Energy
National Nuclear Security Administration
Livermore Site Office
PO Box 808, L-293
7000 East Avenue
Livermore, California 94551-0808

FEB 1 0 2003

MEMORANDUM FOR DR. EVERET H. BECKNER
DEPUTY ADMINISTRATOR FOR DEFENSE PROGRAMS

FROM: CAMILLE YUAN-SOO HOO, MANAGER
LIVERMORE SITE OFFICE

SUBJECT: Quality Assurance Improvement Plan for Defense Nuclear Facilities Action Item 3.1

The Quality Assurance Improvement Plan (QAIP) for Defense Nuclear Facilities describes the actions to improve the implementation of Quality Assurance (QA) at the Department's defense nuclear facilities. It was developed in response to issues raised by Environmental Management (EM) and National Nuclear Security Administration, (NA-10) assessments conducted during 2001, reviews of operational performance data, and concerns identified by the Defense Nuclear Facilities Safety Board (DNFSB) in technical reports and public meetings. Action 3.1 of the QAIP states that NA will validate that the contractors are complying with 10 CFR 830.121(c) (2) regarding integrating QA with Integrated Safety Management System (ISMS).

The Livermore Site Office (LSO) validates that Lawrence Livermore National Laboratory (LLNL) is in compliance with 10 CFR 830.121(c) (2). This validation is based on document reviews and field activities. LSO reviewed and validated that the LLNL QA Implementation Plan incorporates a cross-walk between the QA and ISMS principles. LSO performed a review of facility QA Implementation Plans and a walkthrough of activities at higher risk LLNL facilities (Plutonium Facility and Radioactive Waste Storage Facility) focusing on vital safety systems to assure the effectiveness of the Quality Assurance program regarding integrating with ISMS. Based on the documentation reviews and facility walkthroughs the LLNL QA Implementation Plan has flowed down to the work level and ISMS is being integrated in the work process.

Should you have any questions or comments, please contact Steve Lasell at (925) 423-3778 or Adeliza Cordis at (925) 422-9585.

cc: P. Hill, LSOD
R. Singh, NNSA
LSOD Rdg. File
LSO Copy
File Code

DOE F 1325.8

United States Government **Department of Energy**

memorandum

National Nuclear Security Administration
Sandia Site Office

DATE: FEB 2 4 2003

REPLY TO: SSO/PQA

SUBJECT: Quality Assurance Improvement Plan Deliverable

TO: Dr. Everet Beckner, Deputy Administrator for Defense Programs, NNSA (NA-10)

Attached is the Sandia Site Office's response to Action 3.1 of the Department's Quality Assurance Improvement Plan. If you have any questions, please call Dan Pellegrino at 505-845-5398.

Karen L. Boardman
Manager

Attachment

cc (w/atch):
R Singh, NA-124

GTN

Improvement Action 3.1 of the Departments Quality Assurance Improvement Plan (QAIP) for Defense Nuclear Facilities, dated October 21, 2002, states "NA will validate that contractors are complying with 10 CFR 830.121(c)(2). This CFR states the QA Program (QAP) must "Integrate the quality assurance criteria with the Safety Management System, or describe how the quality assurance criteria apply to the Safety Management System".

SSO validates that the QA criteria as specified within the 10CFR830.121 was adequately integrated with the ISMS program for the defense nuclear facilities at SNL.

Sandia National Laboratories (SNL) takes a management systems approach to integrate and implement the applicable DOE Orders and other customer requirements (including adherence to Code of Federal Regulations (CFRs). The SNL Integrated Laboratory Management System (ILMS) Corporate Policy Statement CPS 001.3 is the SNL business rule that describes the official systems-level approach approved by Sandia executive management for accomplishing this integration and implementation activity. The purpose of this policy is to establish a common management system for all SNL Corporation work.

The SNL Corporate Work Process (CWP) Corporate Process Requirement CPR 001.3.4 is the SNL business rule that describes the official process-level approach accomplishing this integration and implementation activity. The CWP is the required methodology for integrating management principles and a set of constituent elements defined in ILMS Policy. Specifically, these two approaches are used to integrate the ten Quality Assurance criteria (from 10CFR830.122) contained in the corporate QAP Corporate Process Requirement CPR 001.3.2 (titled "Corporate Quality Assurance Program"), with the safety requirements contained in the Integrated Safety Management System (ISMS) Corporate Process Requirement CPR 400.1.2 (titled "Integrated Safety Management System Description").

SNL Technical Area V (TA-V) currently houses the defense nuclear facilities. SNL TA-V has developed and maintained a Quality Assurance Program Plan (QAPP) for the Sandia Research Reactor and Experimental Programs (RREP-QAPP, Rev. 11, dated 10/10/02) to implement the SNL Corporate Quality Assurance Program requirement CPR001.3.2 mentioned above. In the QAPP, it is stated that SNL's ISMS Program and TA V's QA Program are integrated through implementation of the TA-V Work Control Instruction. The Work Control Instruction (6431/6432-MMP.II-04, Issue H, dated 10/31/02) applies to work activities at the SNL TA-V nuclear facilities. Section 7.0 of this document discusses that the general philosophy of work control at the nuclear facilities within the TA-V mirrors the SNL ISMS, as evidenced by addressing the five core management functions.

This Work Control Instruction uses the Facility Work Request (FWR) Form to document planned activities. The "analyze hazards" section of the FWR includes the nuclear

facilities work control questionnaire (NFWCQ). Item #13 on this form identifies the requirement for a Project Experiment Quality Plan (PEQP), which is a project/activity specific quality plan. The TA-V Research Reactor Experimental Programs (RREP) Manual provides instructions for preparing a PEQP. Additionally, the QAPP identifies the correlation between the RREP Manual sections and the ten QA criteria as specified in 10CFR 830.122.

SSO has reviewed FWRs at TA-V. For example, the Rod Control and Reactor Console (RC/RC) Upgrade FWR #2002-016 was reviewed in relation to the linkage of the QA criteria to the ISMS. This FWR that specifically addressed the work related to the desired upgrade operation at ACRR. SNL facility personnel identified that a specific PEQP was required for this activity (even though there already exists an ACRR facility PEQP). The PEQP for the RC/RC Upgrade Project (Rev 01, dated 10/31/2002) was specifically written to address the aspects of the QA criteria.

DOE F 1325.8

United States Government **Department of Energy**

memorandum

National Nuclear Security Administration
Sandia Site Office

DATE: JUN 10 2003

REPLY TO: SSO/PQA

SUBJECT: Sandia Site Office (SSO) Deliverable to the Department's Quality Assurance Improvement Plan for Defense Nuclear Facilities

TO: Dr. Everet Beckner, Deputy Administrator for Defense Programs, NNSA (NA-10)

The National Nuclear Security Administration (NNSA) Sandia Site Office (SSO) has addressed the two deliverables (Action 3.2.1 and Action 1.4.4) due for May 2003 from the U.S. Department of Energy Quality Assurance Improvement Plan for Defense Nuclear Facilities. The following text addresses the deliverables pertaining to these actions:

Action 3.2 *NA will ensure that programs and processes are in place that provides the oversight of quality assurance programs consistent with DOE Policy P450.5 and DOE Order O 414.1.*

3.2.1 *NA Field and Headquarters organizations will evaluate quality assurance programs as part of their integrated assessment process consistent with DOE Policy P 450.5 and DOE Order O 414.1.*

In previous years, the NNSA/Sandia Site Office (SSO) conducted oversight through the yearly assessment of ES&H disciplines during the two-week Contractor Performance Assessment Program (CPAP) process. The scope of the CPAP included the review and assessment of the Quality Assurance (QA) functional area.

The most recent Quality Assurance evaluation of Sandia National Laboratories (SNL)/New Mexico (NM) and SNL/California (CA) was conducted August 12-16, 2002 and August 5-9, 2002, respectively. These assessments provided a systems level review of the SNL corporate Quality Assurance Program. The following Criteria from the QA Rule and the QA Order were observed during the CPAP assessment at SNL/NM:

- Criterion 1 - Program
- Criterion 2 - Personnel Training and Qualification
- Criterion 3 - Quality Improvement
- Criterion 4 - Documents and Records
- Criterion 8 - Inspection and Acceptance Testing
- Criterion 9 - Management Assessment

The remaining criteria of the Regulation and Order were observed during the FY2001 CPAP except Criterion 6, Design. This criterion was assessed in detail during a NA121.3 led Weapon Quality Assurance Survey (QAS 1.0) conducted August 2001.

The SNL/CA review assessed the following Criteria from the QA Rule and the QA Order:

•Criterion 1 - Program
•Criterion 2 - Personnel Training and Qualification
•Criterion 3 - Quality Improvement
•Criterion 4 - Documents and Records
•Criterion 5 - Work Processes
•Criterion 7 - Procurement
•Criterion 9 - Management Assessment

Furthermore, the SNL/NM self-assessment program and implementation of the SNL self-assessment program (as dictated by the DOE P450.5) was reviewed during the CY 2002 CPAP. The purpose of this review was to determine the effectiveness of the SNL self-assessment activities and SNL implementation of DOE P450.5, DOE Guide 414.1A and its SNL (Lockheed-Martin, Corp.) corporate requirements. All available SNL ES&H, SNL management, SNL Organization 12870 (independent assessment group) and OSHA mandated assessments (including QA topical areas) were reviewed.

The SSO is currently redefining and strengthening its oversight activities of Sandia National Laboratories (SNL) consistent with DOE P 450.5, including the QA functional area (as required by DOE O 414.1). The SSO has developed a formal assessment procedure and accompanying implementation plan with assessments on SNL ES&H disciplines scheduled to occur throughout the year. During CY 2003, portions of the QA requirements will be assessed, beginning with those criteria from the Title 10 Code of Federal Regulations Part 830, Nuclear Safety Management (10 CFR 830), Quality Assurance Requirements, (Subpart A) and Department of Energy Order 414.1A, Quality Assurance that were not reviewed in the CY 2002 CPAP.

Action 1.4.4 *Update the NA Headquarters and Field FRA documents to incorporate Federal responsibilities defined in the Quality Assurance Rule and Order, including the responsibilities for overseeing the contractor's quality assurance program.*

The existing Functions, Responsibilities, and Authorities (FRA) document is one that was developed for the Albuquerque Operations Office (now the NNSA Service Center) that contained detailed responsibilities of the Office of Kirtland Site Operations (now known as the SSO). The SSO has begun development of a new FRA to document the safety management functions for SSO and identify the responsibilities and authorities within SSO to perform those functions.

SSO functions, responsibilities, and authorities will be clearly defined in the FRA including the Federal responsibilities defined in the QA Rule and Order for overseeing the contractor's QA program. The SSO FRA will capture how the Integrated Safety Management System (ISMS) is implemented per DOE P411.1 and DOE P450.4 for federal employees. The SSO FRA will be tiered down from the NNSA HQ FRA document. The SSO will finalize its FRA within four months of receipt of the final NNSA HQ FRA.

Please contact Daniel Dilley, the SSO ISMS Program Manager, at (505) 845-6246 or Dan Pellegrino, the Assistant Manager for Production and Quality Assurance, at (505) 845-5398 if you should have any questions in regards to these actions.

Karen L. Boardman
Manager

cc:
R. Singh, NA-124
P. Chimah, NNSA SC
D. Pellegrino, SSO
B. Mullen, SSO
D. Dilley, SSO
G. Schmidtke, SSO
M. Hamilton, SSO

United States Government

Department of Energy
National Nuclear Security Administration
Los Alamos Site Office
Los Alamos, New Mexico 87544

memorandum

DATE: JUN 06 2003
REPLY TO ATTN OF: OPM-7JC-0003-0011
SUBJECT: Los Alamos Site Office (LASO) Actions Concerning DOE Quality Assurance Improvement Plan

TO: Everet H. Beckner, Deputy Administrator for Defense Programs, NNSA/HQ, NA-10 4A-019/FORS

This memorandum provides the response and status of Los Alamos Site Office (LASO) actions concerning the DOE Quality Assurance Improvement Plan, dated October 21, 2002, Action 3.2.1 which states:

> *NA Field and Headquarters organizations will evaluate quality assurance programs as part of their integrated assessment process consistent with DOE Policy P 450.5 and DOE Order O 414.1.*

Deliverable:	Acknowledgement Memorandum to Deputy Administrator for Defense Programs indicating that Field and Headquarters organizations are assessing quality assurance programs
Completion Date:	May 2003

The LASO has established processes for assessing quality assurance programs of both contractor and LASO activities. Contractor assessment is performed through various means. The primary method is performance evaluation of LANL contract performance measures as prescribed in the LANL *Integrated Safety Management Description Document* (LAUR-98-2837). These evaluations include bi-annual review of key metric performance measures and an annual assessment of Laboratory performance against established performance measures.

Additional oversight of LANL performance is conducted through LASO's independent assessment, facility representative, and weapons quality program processes. The facility representatives, for example, function as our "eyes and ears" providing daily oversight of contractor activities. The results of these activities are issued to the LANL and used as input to the contract performance evaluations noted above. Day-to-day oversight is also provided by our Federal Project Managers who in compliance with DOE O 413.3, "Program and Project Management for the Acquisition of Capital Assets," follow, assess, and report on LANL construction activities.

Everet H. Beckner

These processes are consistent with the intent of DOE O414.1A, *Quality Assurance* and P 450.5, *Line environment, Safety, and Health Oversight*.

It should also be noted that LASO oversight processes are being reviewed as part of the development of the LASO Quality Management System, underway following the NNSA re-engineering effort and stand-up of the NNSA Site Offices. Prior to the NNSA re-organization in December 2002, quality assurance activities were performed by the Albuquerque Operations Office. In addition, the LASO is responding to the Administrator's December 2002 message preparing for support of the NNSA ISO9001: 2000 implementation efforts. Opportunities for improvements identified during the development of the LASO quality program will be incorporated to enhance current LASO oversight process.

Questions or comments regarding this matter should be addressed to Jose Cedillos at (505) 665-6437.

Ralph E. Erickson
Manager

Cc:

Rabindra N. Singh, NNSA/HQ, NA-12/GTN
H. Le-Doux, LASO, OPM
J. Vozella, LASO, OFO
E. Rodriguez, LASO, OPL
J. Cedillos, LASO, OPM

Department of Energy
National Nuclear Security Administration
Livermore Site Office
PO Box 808, L-293
7000 East Avenue
Livermore, California 94551-0808

JUN 13 2003

MEMORANDUM FOR DR. EVERET H. BECKNER
DEPUTY ADMINISTRATOR FOR DEFENSE PROGRAMS

FROM: CAMILLE YUAN-SOO HOO, MANAGER

SUBJECT: Quality Assurance Improvement Plan for Defense Nuclear Facilities Action Item 3.2.1

The Quality Assurance Improvement Plan (QAIP) for Defense Nuclear Facilities describes the actions to improve the implementation of Quality Assurance (QA) at the Department's defense nuclear facilities. It was developed in response to issues raised by Environmental Management (EM) and National Nuclear Security Administration, (NA-10) assessments conducted during 2001, reviews of operational performance data, and concerns identified by the Defense Nuclear Facilities Safety Board (DNFSB) in technical reports and public meetings. Action 3.2.1 of the QAIP states that NA Field and Headquarters organizations will evaluate quality assurance programs as part of their integrated process consistent with DOE Policy 450.5 and DOE Order 414.1.

The Livermore Site Office (LSO) developed and implemented DOE/NNSA/OAK/AMNS Standard Operating Procedure (SOP) in April 2002. The enclosed SOP is based on DOE Order 414.1, DOE P 450.5 and other applicable references and is used to evaluate the Laboratory's quality assurance program. The SOP is undergoing revision to reflect the changes caused by the NNSA re-engineering and the DOE O 414.1 annual update requirement.

Should you have any questions or comments, please contact Steve Lasell at (925) 423-3778 or Adeliza Cordis at (925) 422-9585.

Attachment

cc:
P. Hill, LSOD
R. Singh, NNSA
LSOD Rdg. File
LSO Copy
File Code

OE F 1325.8

United States Government | Department of Energy

Memorandum

National Nuclear Security Administration
Pantex Site Office

DATE: JUN -5 2003

REPLY TO: PXSO:WQS:MLU

SUBJECT: Quality Assurance Improvement Plan for Defense Nuclear Facilities Action Item 3.2.1

TO: Everet H. Beckner, Deputy Administrator for Defense Programs, NA-10

Action Item 3.2.1 of the Quality Assurance Improvement Plan requires NA Field organizations to evaluate quality assurance programs as part of their integrated assessment process consistent with DOE P 450.5, Line Environment, Safety and Health Oversight, and DOE O 414.1A, Quality Assurance.

The Pantex Site Office (PXSO) program for oversight of its contractor is consistent with the requirements of DOE P 450.5 and DOE O 414.1A. The program includes annual assessment schedules for daily, monthly, and annual assessments of contractor performance. These periodic assessments allow us to monitor the effectiveness of programs, processes, and activities in the areas of Operations, Engineering, Safety and Health, Authorization Basis, Safeguards and Security, Quality Assurance and Self Assessments (Independent and Management Assessments). Contractor deficiencies are tracked and trended and corrective actions are evaluated for effectiveness and adequacy to prevent recurrence.

The PXSO validates the Quality Assurance Programs are being assessed as an integrated assessment process consistent with DOE P 450.5 and DOE O 414.1A.

Daniel E. Glenn
Manager

cc
J. Kirby, PXSO, 12-36A
K. Waltzer, PXSO, 12-36A
S. Erhart, PXSO, 12-36A
M. Blackburn, PXSOs, 12-36A
M. Reaka, PXSO, 12-36A
F. Gregory, NA-121.3, AL
R. Singh, NA-124, HQ
P. Chimah, ESHD, AL

FY03-11523-QAS

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To R. Singh	From
Dept./Agency	Phone #
Fax #	Fax #

NSN 7540-01-317-7368 5099-101 GENERAL SERVICES ADMINISTRATION

United States Government | Department of Energy
National Nuclear Security Administration

memorandum

DATE: May 7, 2003

REPLY TO ATTN OF: Y12-40:Shen

SUBJECT: QUALITY ASSURANCE IMPROVEMENT PLAN FOR DEFENSE NUCLEAR FACILITIES ACTION ITEM 3.2.1

TO: Dr. Everet Beckner, Deputy Administrator for Defense Programs, NA-10, FORS

Action Item 3.2.1 of the Quality Assurance Improvement Plan requires NA Field organizations to evaluate quality assurance programs as part of their integrated assessment process consistent with DOE P 450.5, Line Environment, Safety, and Health Oversight, and DOE O 414.1A, Quality Assurance.

The Y-12 Site Office (YSO) program for oversight of its contractor is consistent with the requirements of DOE P 450.5 and DOE O 414.1A. The program includes a comprehensive annual assessment schedule which includes a variety of annual, quarterly, and monthly assessments of contractor performance. These periodic assessments allow us to monitor the effectiveness of programs and activities in the areas of Operations, Programs, Engineering, Safety and Health, Authorization Basis, Safeguards and Security, Quality Assurance and Self Assessments (Independent and Management Assessments).

For FY 2003, the annual YSO self-assessment of the Lessons Learned Program was conducted in January 2003. The YSO self-assessment of the Quality Assurance Program is scheduled for May 2003. A joint YSO-BWXT assessment of the BWXT Independent Assessment Program is currently in progress as scheduled. Another joint YSO-BWXT assessment of the Quality Assurance Program is scheduled in the fourth Quarter/FY 2003. In addition, monthly assessments of contractor's self-assessment programs (i.e., independent and management assessment programs), are conducted by our Facility Representatives and subject matter experts on a regular basis as a part of our operational awareness activities.

The YSO therefore validates that quality assurance programs are being assessed by our organizations as part of our integrated assessment process consistent with DOE P 450.5, and DOE O 414.1A.

William J. Brumley
Manager
Y-12 Site Office

cc:
M. M. Glasman, Y12-40, YSO
C. T. Shen, Y12-40, YSO
L. Schaffer, Y12-40, YSO
S. Hardgrave, Y12-40, YSO
E. Hale, Y12-40, YSO

DOE F 1325.8

United States Government **Department of Energy**

memorandum

National Nuclear Security Administration
Kansas City Site Office
Kansas City, Missouri 64141-0202

DATE: JUN 13 2003

REPLY TO: KCSO/OQA:GAB

SUBJECT: **Improvement Action 3.2.1 of the Quality Assurance Improvement Plan for Defense Nuclear Facilities, dated October 21, 2002**

TO: Everet H. Beckner, NA-10

Improvement Action 3.2.1 of the Quality Assurance Improvement Plan for Defense Nuclear Facilities, dated October 21, 2002, requires an acknowledgement memorandum from each Site Office indicating our assessment of quality assurance programs, consistent with DOE Policy P450.5 and DOE Order O414.1A.

The KCSO has an integrated process for assessing the Honeywell FM&T Quality Assurance and ES&H programs. This includes formalized contractor performance measures, plant-wide metrics, on-site federal personnel performing surveys of the contractor operations, input and oversight of the FM&T corrective action tracking system, independent third-party certifications, and formal approvals of the M&O Contractor programs. The KCSO has a dedicated staff of fourteen whose primary responsibility is the weapon quality assurance oversight per the NNSA Quality Criteria, QC-1. This staff is responsible for oversight of the FM&T's ISO 9001-based Quality Management System and compliance to DOE O414.1A. The KCSO has a dedicated staff of six that monitor the various ES&H programs and who annually review and approve FM&T's ISM system description. One of these professionals is a Program Manager whose responsibilities include oversight of the 10CFR830.120 requirements and the ISO 14001 quality program. It is of note that recently EH-10 completed a satisfactory audit of the KCP for 10CFR830.120 compliance.

To reinforce KCSO's process for overseeing Honeywell FM&T's Quality Management System, the KCSO sent the attached letter to FM&T on October 31, 2002. In that letter, KCSO addressed its oversight of FM&T's Quality Assurance Program and the interconnection with FM&T's Integrated Safety Management System. The KCSO continues to provide oversight of the contractor's non-weapons quality assurance program in accordance with that described in the letter.

I believe this fulfills the intent of Action 3.2.1. If you have any questions, please feel free to contact me, Gregory Betzen at 816-997-3352 or Patrick Hoopes at 816-997-7003 to discuss this further.

Steve C. Taylor
Acting Manager
Kansas City Site Office

Attachment:
October 31, 2002 memo to Honeywell

cc w/attachment:
Greg Betzen, KCSO, OQA
Pat Hoopes, KCSO, OSS
Rabi Singh, NA-124, GTN

United States Government

Department of Energy

Memorandum

Albuquerque Operations Office
Office of Kansas City Site Operations
Kansas City, Missouri 64141-0202

DATE: OCT 3 1 2002

REPLY TO: OKCSO

SUBJECT: Quality Assurance Program for DOE O414.1A

TO: Dave Douglass, President, Honeywell FM&T

DOE Order 414.1A, Attachment 1, Contractor Requirements Document, requires DOE contractors develop and maintain a formal Quality Assurance Program (QAP). Paragraph 1.a(6) requires DOE approval of the QAP, with Paragraph 1.b(1) requiring changes to the QAP be submitted to the DOE for review and approval on an annual basis.

The FM&T quality management system is based on the ISO 9001:2000 standard with the Command Media system allowing NNSA instantaneous access to that quality management system. In addition, ES&H is incorporated into your ISO based system as defined in FM&T's Environment, Safety and Health Management Plan. The ES&H Management Plan establishes certification to the ISO 14001:1996 standard (CERT-01002-2000-AE-HOU-RAB) and the DOE Voluntary Protection Program Star Program, last certified on October 18, 2002, as key elements of the plan.

The OKCSO has thoroughly studied the similarities between the ISO standards and DOE O414.1A and compared them to your quality management system. We have consistently accepted the FM&T ISO 9001 based quality management system as meeting the QAP requirements set forth in the DOE quality assurance order since the AL Operations Manager's initial approval to do so on November 19, 1996 for DOE Order 5700.6C. The FM&T/KC certificate for ISO 9001:2000 (Quality System Certificate No. CERT-09308-2001-AQ-HOU-RAB) and the NNSA approval of your Environment, Safety and Health Management Plan provide NNSA with objective evidence and verification of your continued compliance. FM&T/NM has similar certifications on record. Unless withdrawn, this memorandum documents NNSA's continuous approval of your QAP, in lieu of annual review, for DOE Order 414.1A as long as the certifications mentioned above are maintained.

The FM&T certifications clearly indicate your commitment to operate at a high level of quality and we anticipate that you will continue to do so. Of course, we request that you keep us informed of any major changes to your quality management system to ensure continued

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NOV 0 4 2002

Dave Douglass

compliance with all pertinent regulations. Should you have any questions regarding the DOE requirements pertaining to your quality assurance program, please contact Gregory Betzen of my staff at 816-997-3352.

Elizabeth D. Sellers
Director
Office of Kansas City Site Operations

cc:
Robin Stubenhofer, D/010
Pat Hoopes, OKCSO
Joel Smith, NA-121.3, Germantown

DOE F 1325 8

United States Government **National Nuclear Security Administration (NNSA)**
Savannah River Site Office (SRSO)

Memorandum

DATE: June 11, 2003

REPLY TO ATTN OF: SV (Zweifel, 803-208-1023)

SUBJECT: Quality Assurance Improvement Plan (QAIP) Action 3.2.1, Oversight/Assessment of Quality Assurance (QA) Programs

TO: Tyler Przybylek, Acting Chief Operating Officer, National Nuclear Security Administration, (NA-2)

The QAIP Action 3.2.1 is complete. The NNSA-SRSO routinely evaluates the contractor's quality assurance program consistent with the DOE Policy P450.5 and DOE Order O 414.1 through the oversight of facility activities, Tritium Facility's monthly quality metrics, Quality Assurance Surveys and technical/management assessments. The NNSA Headquarters, NA-53, performed a comprehensive assessment of the SRSO in Fiscal Year 2002 and concluded that the SRSO Quality Assurance Program has an effective oversight assessment process. The results of the NA-53 assessment are documented in the "Headquarters On-Site Review of Field Element Performance, Final Report of Defense Programs Operations, NNSA-SRSO, June 2002".

We will continue to support the Defense Programs effort to effectively coordinate execution of the QAIP actions. If you have any questions, please contact me or Daniel Zweifel of my staff.

Edwin L. Wilmot, Manager
National Nuclear Security Administration
Savannah River Site Office

SV:DNZ:mp

RB-03-0088

cc: E. Beckner (NA-1), HQ
D. Beck (NA-12), HQ
Joel Smith (NA-122), HQ
X. Ascanio (NA-124), HQ
R. Singh (NA-124), HQ