



# Office of Quality and Best Practices

## *Contractor Assurance Policy, #39*

- ◆ Contractor Assurance - a facility-wide initiative designed:
  - ◆ Ensure sufficient internal control and oversight systems are in place and are operating properly.
  - ◆ Enable:
    - Prompt identification and reporting of deficiencies and opportunities for improvement
    - Timely and effective implementation of corrective actions
    - Sharing and use of learning
  
- ◆ The primary tool for demonstrating operations are compliant, safe, secure, efficient, and of the utmost quality when viewed from the customer's perspective.

# Office of Quality and Best Practices

## *Contractor Assurance*

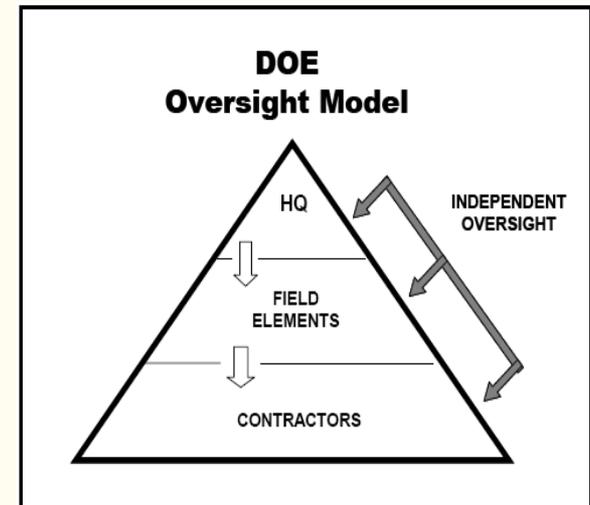
- ◆ Contractor assurance (CA) is very similar to QA in concept and approach.
- ◆ The difference is primarily in who the Order is directed at with regards to action.
  - ❖ Focused on DOE actions with participation by the contractor dictated in the Contractor Requirements Document (CRD).
  - ❖ Describes a multi-staged approach to assurance systems
  - ❖ Oversight programs implemented by DOE line management (both Headquarters and field elements); and DOE independent oversight Organizations.
  - ❖ Encompasses QA; environment, safety, and health; safeguards and security; cyber security; and emergency management.

# Office of Quality and Best Practices

DOE P 226.1

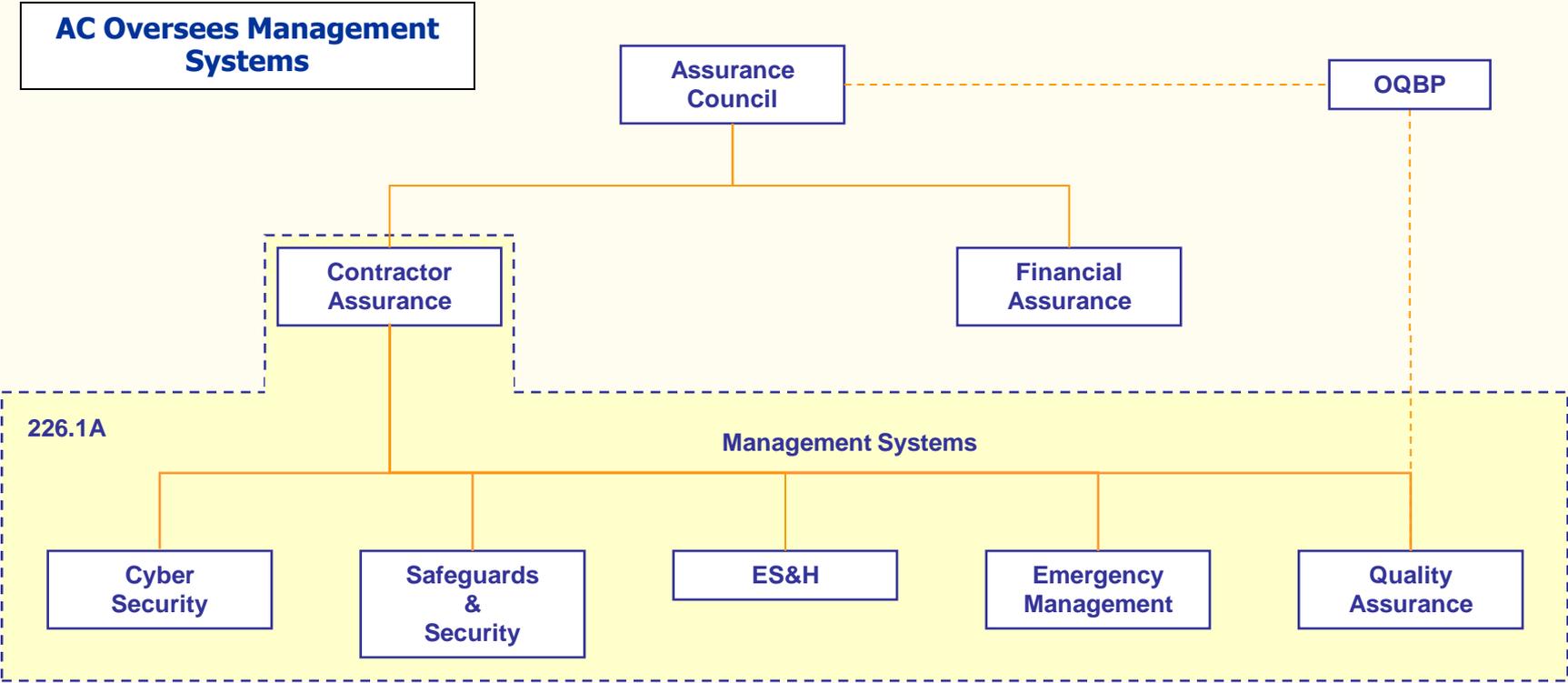
## ◆ Four essential elements:

- ❖ Independent oversight processes
  - Performed by DOE organizations that do not have line management responsibility for the management of the activity
- ❖ DOE Headquarters line management oversight processes
  - Focused on the DOE field elements and contractor activities
  - Evaluates the implementation and effectiveness of field element line management oversight
- ❖ DOE field element line management oversight processes
  - Inspections, reviews, surveillances, surveys, operational awareness, and walkthroughs
  - Evaluates programs and management systems and the validity of the site assurance system
- ❖ Contractors – Independent and Management Assessments



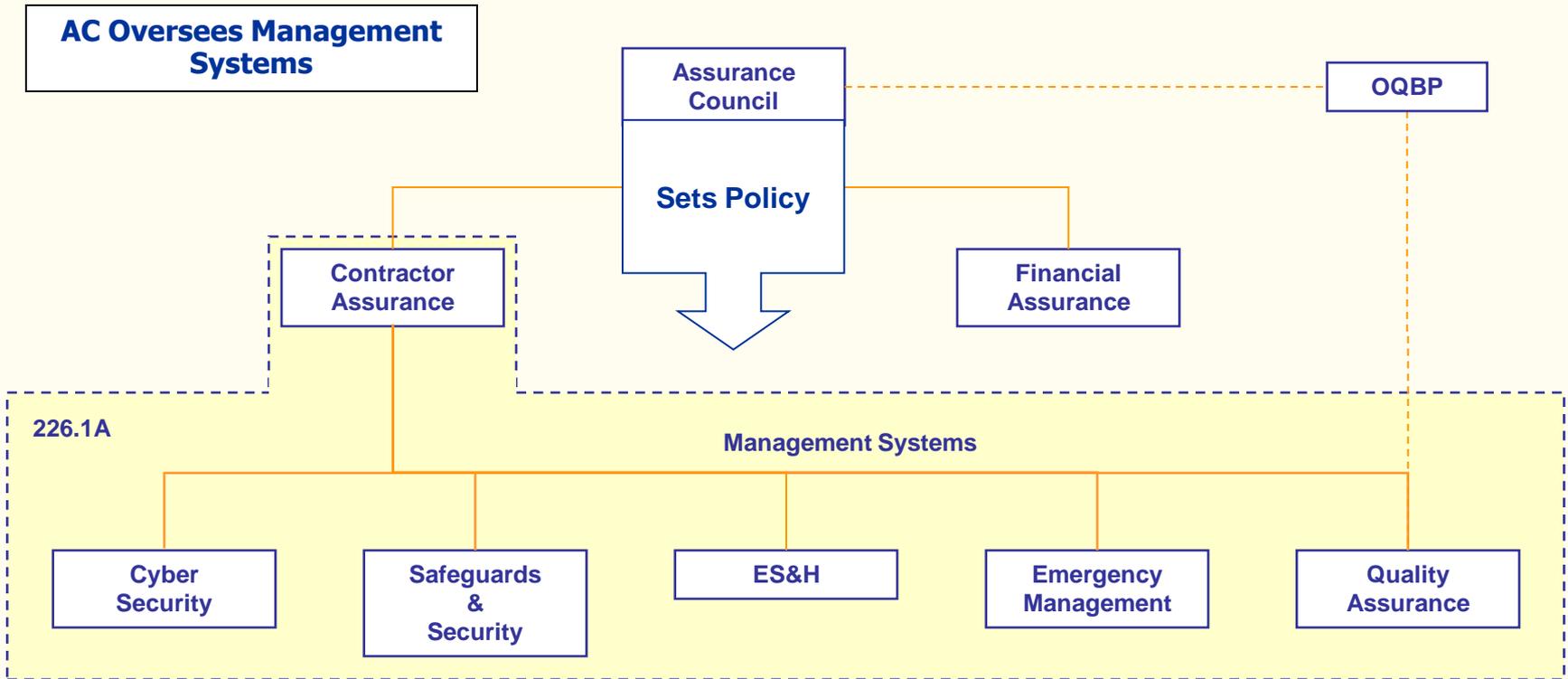
# Office of Quality and Best Practices

## Assurance Council & 226 Relationship



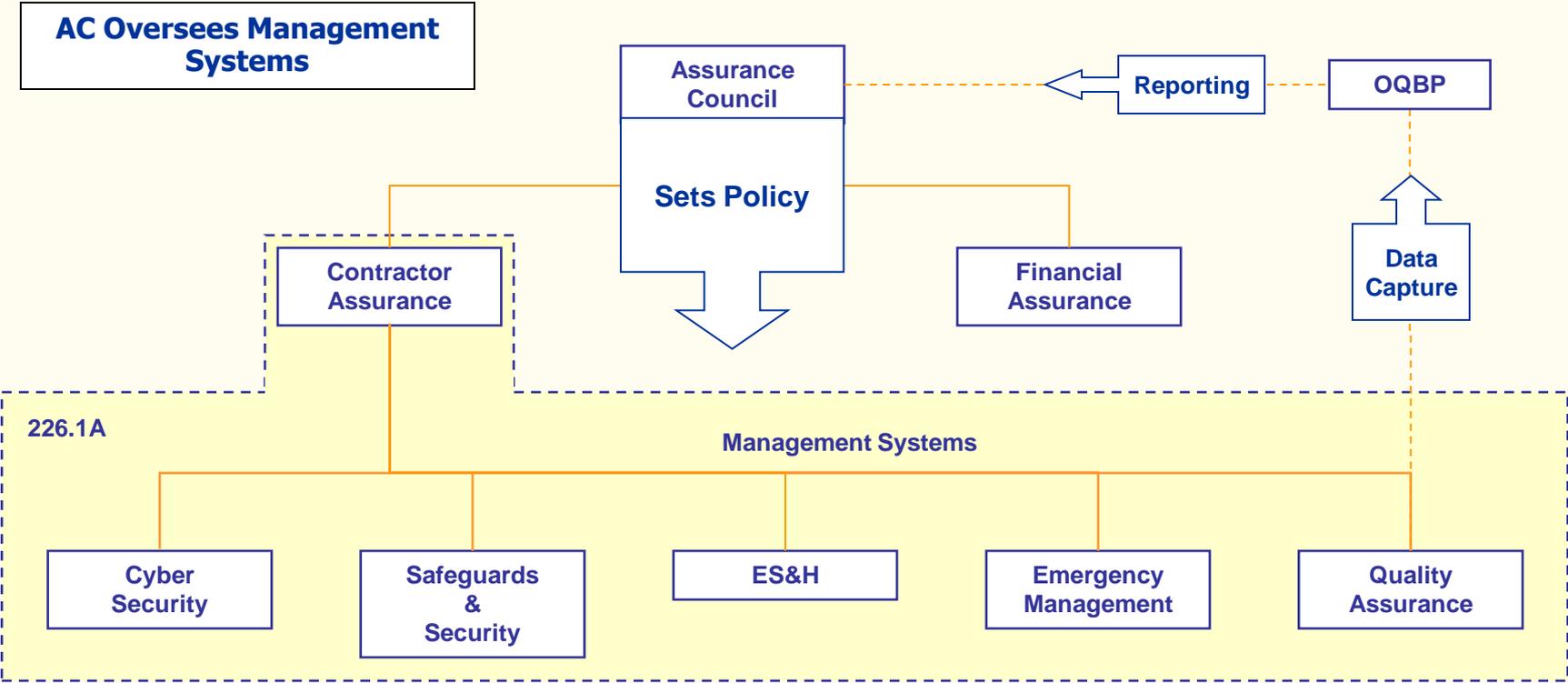
# Office of Quality and Best Practices

## Assurance Council & 226 Relationship



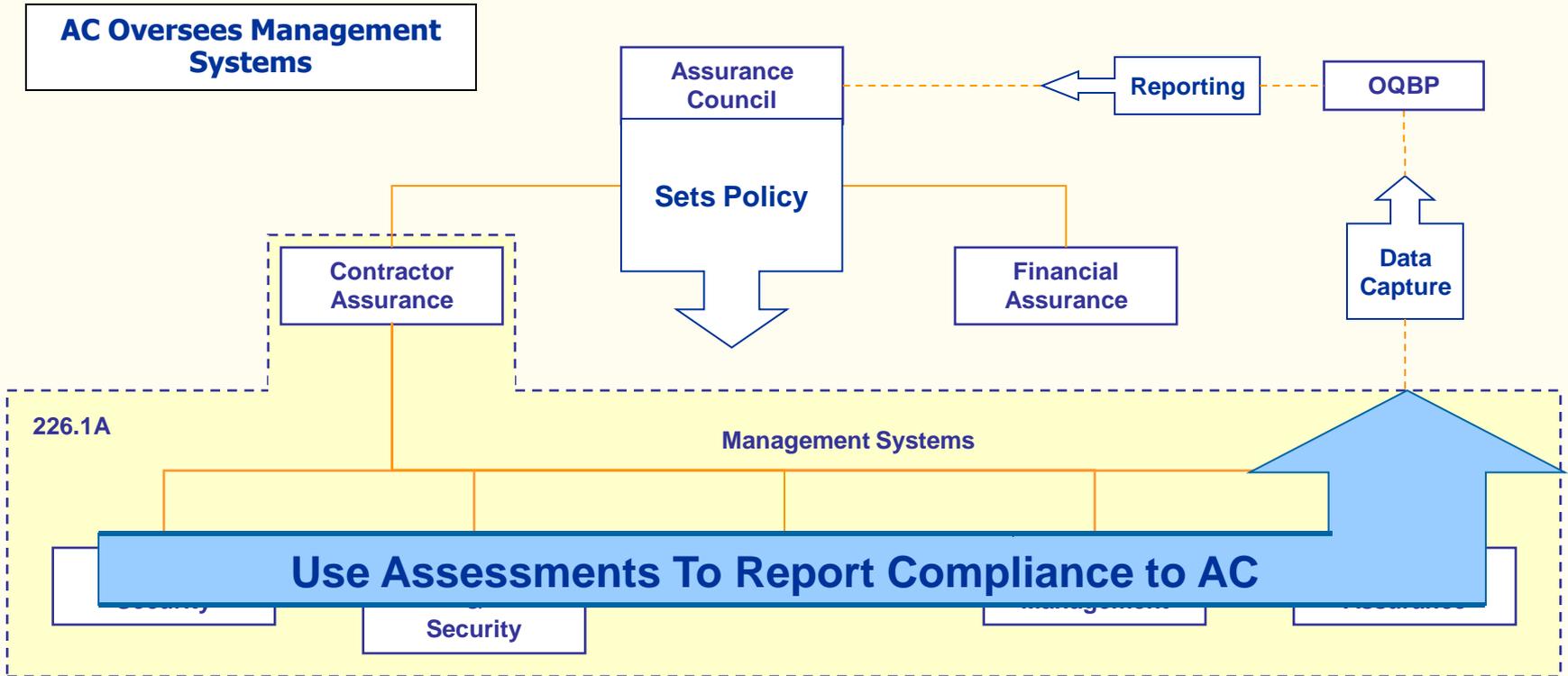
# Office of Quality and Best Practices

## Assurance Council & 226 Relationship



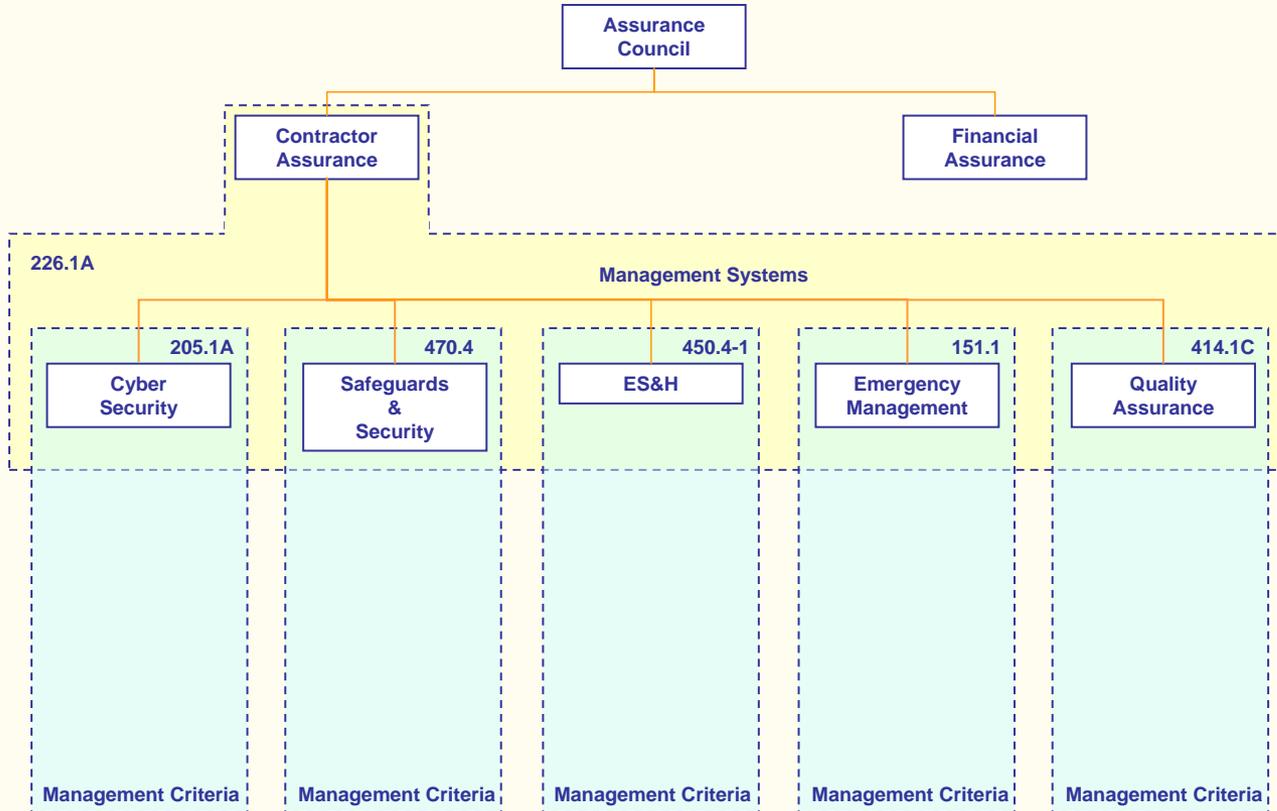
# Office of Quality and Best Practices

## Assurance Council & 226 Relationship



# Office of Quality and Best Practices

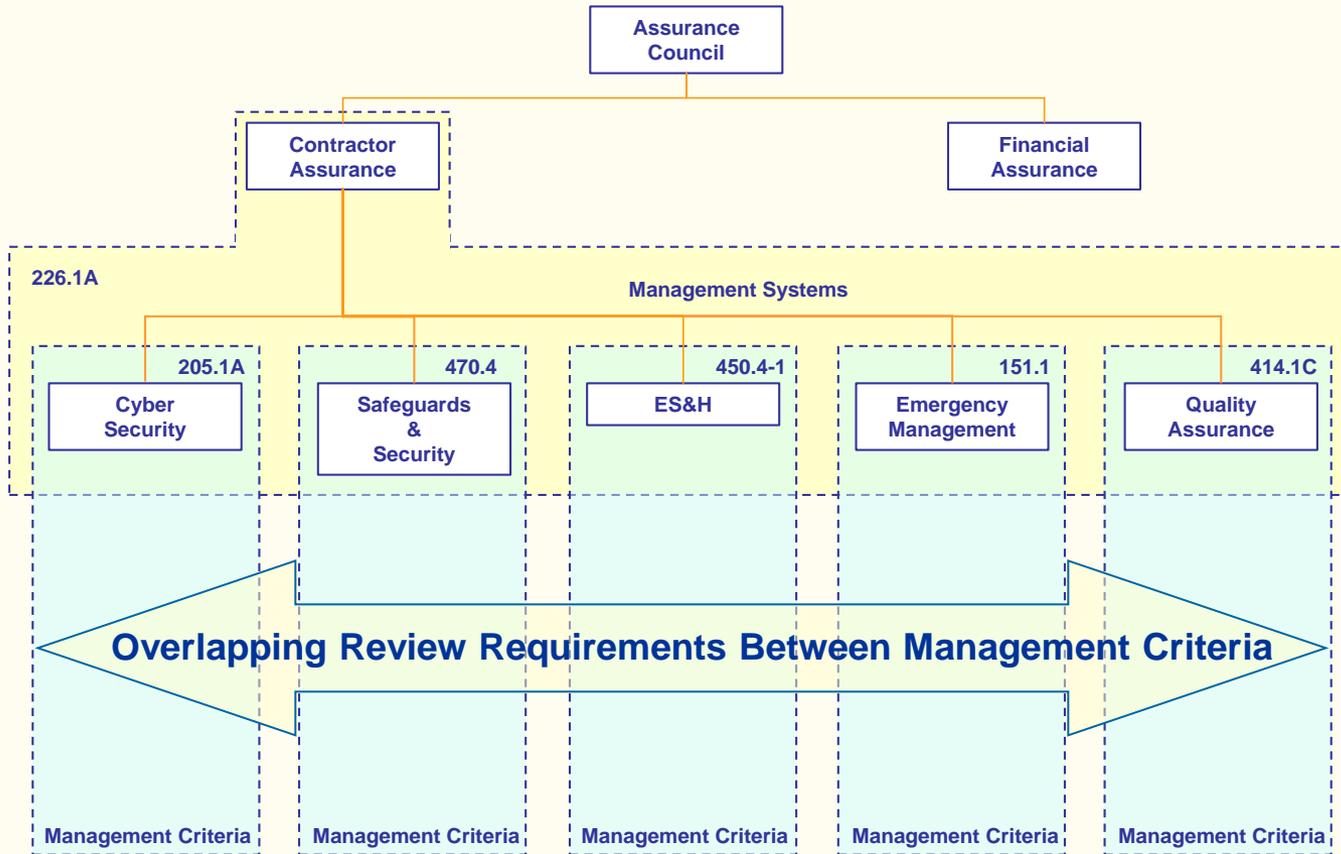
## Mandatory Reviews



**Audit and Review is a common requirement in all Management Systems**

# Office of Quality and Best Practices

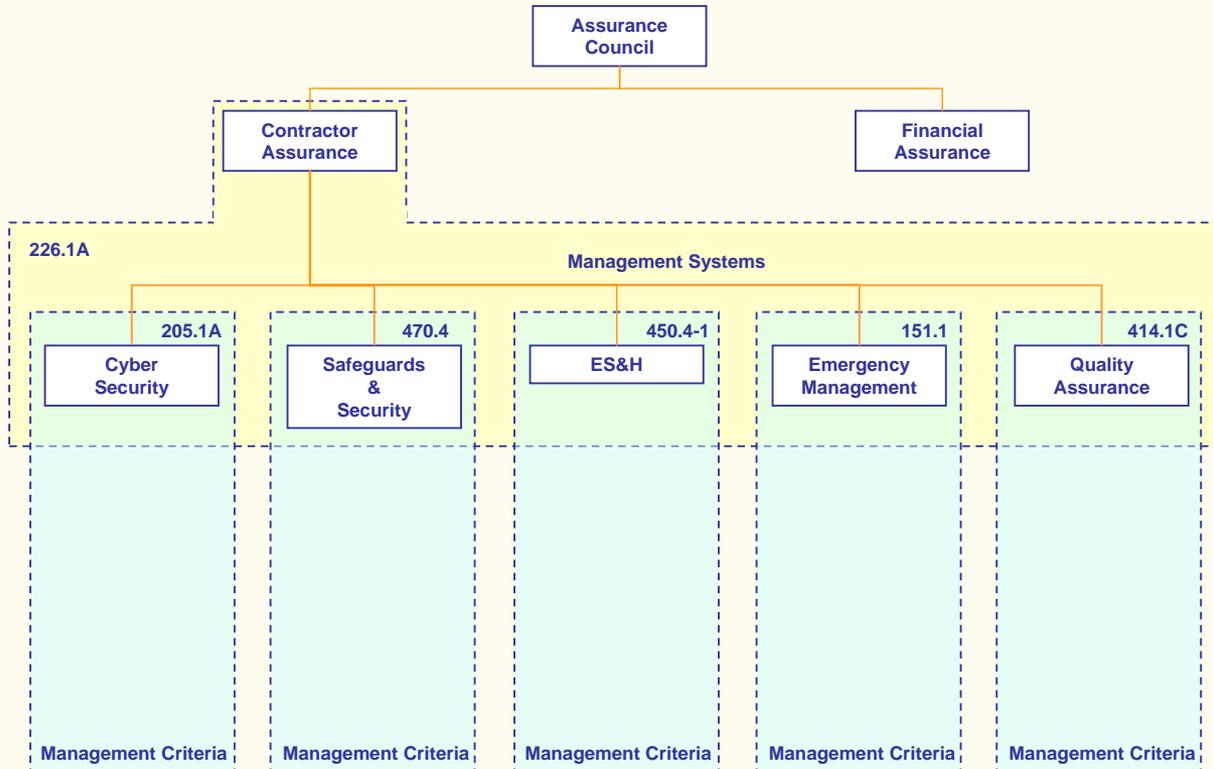
## Overlap Between Systems



Overlapping Review Requirements Between Management Systems and Contractor Assurance

# Office of Quality and Best Practices

## Comprehensive Assessment Plan



### Implement a Comprehensive Assessment Program

- Meet the review requirements
- Reduce redundancy
- Avoid excessive audit requirements

# Office of Quality and Best Practices

## Comprehensive Assessment Plan

### Comprehensive Assessment Program

Special Assessment

Director's Assessment

Third-Party Assessment

Management Assessment

Independent Assessment

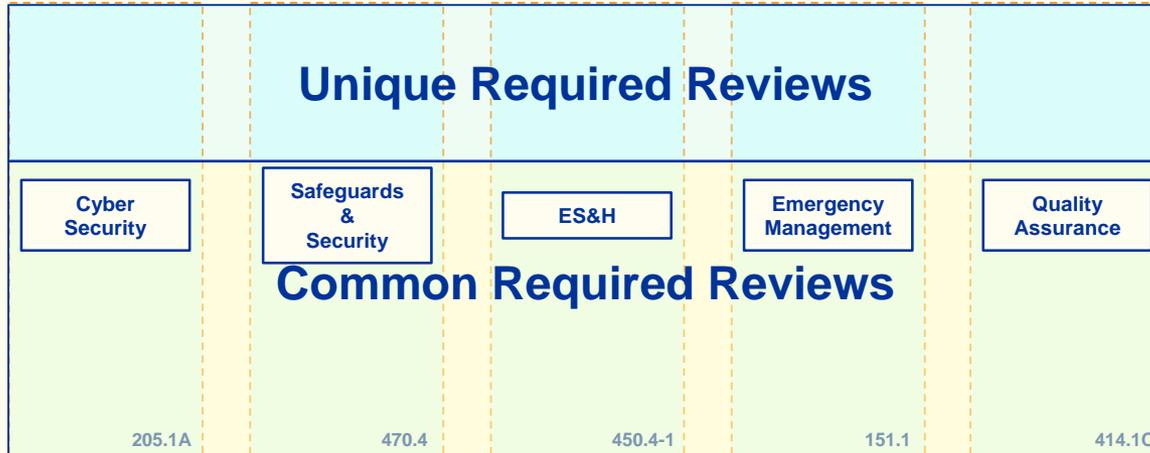
**Assessment:** A review, evaluation, inspection, test, check, surveillance, or audit to determine and document whether items, processes, systems, or services meet specified requirements and perform effectively.

***Management (Self) Assessment:*** Performed by individual D/S/C on their own processes

***Independent Assessments:*** Reviews of processes performed by personnel external to the D/S/C process owner; sponsored/led by the OQBP

# Office of Quality and Best Practices

## Ways to Reduce Numbers of Assessments



Unique Reviews Performed Separately

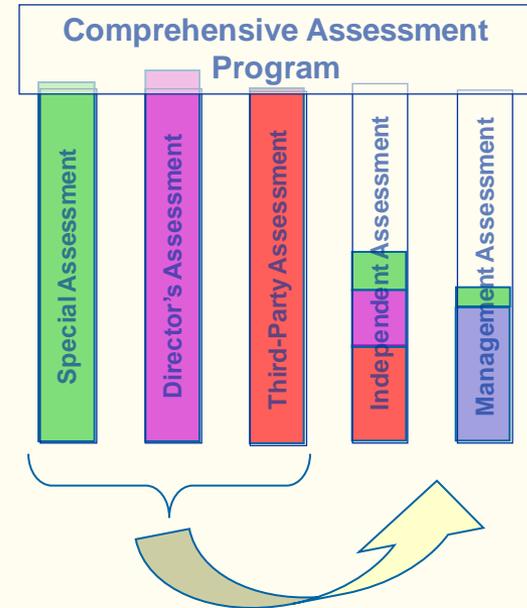
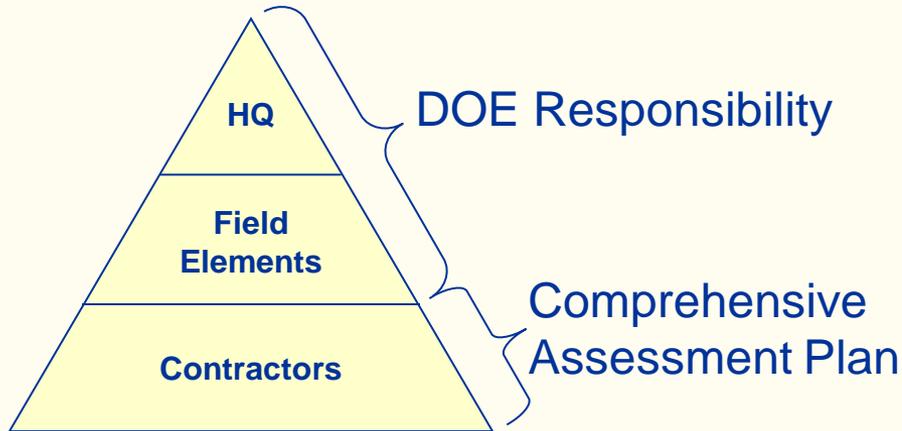
Common Required Reviews Performed Once Versus Five Separate Times

Use Special, Director's, and Third-Party Assessments to fill the requirements of Management and Independent Assessments, as applicable.

- Must be done to specific criteria provided by Fermilab at the time of assessment

# Office of Quality and Best Practices

## Ways to Reduce Numbers of Assessments

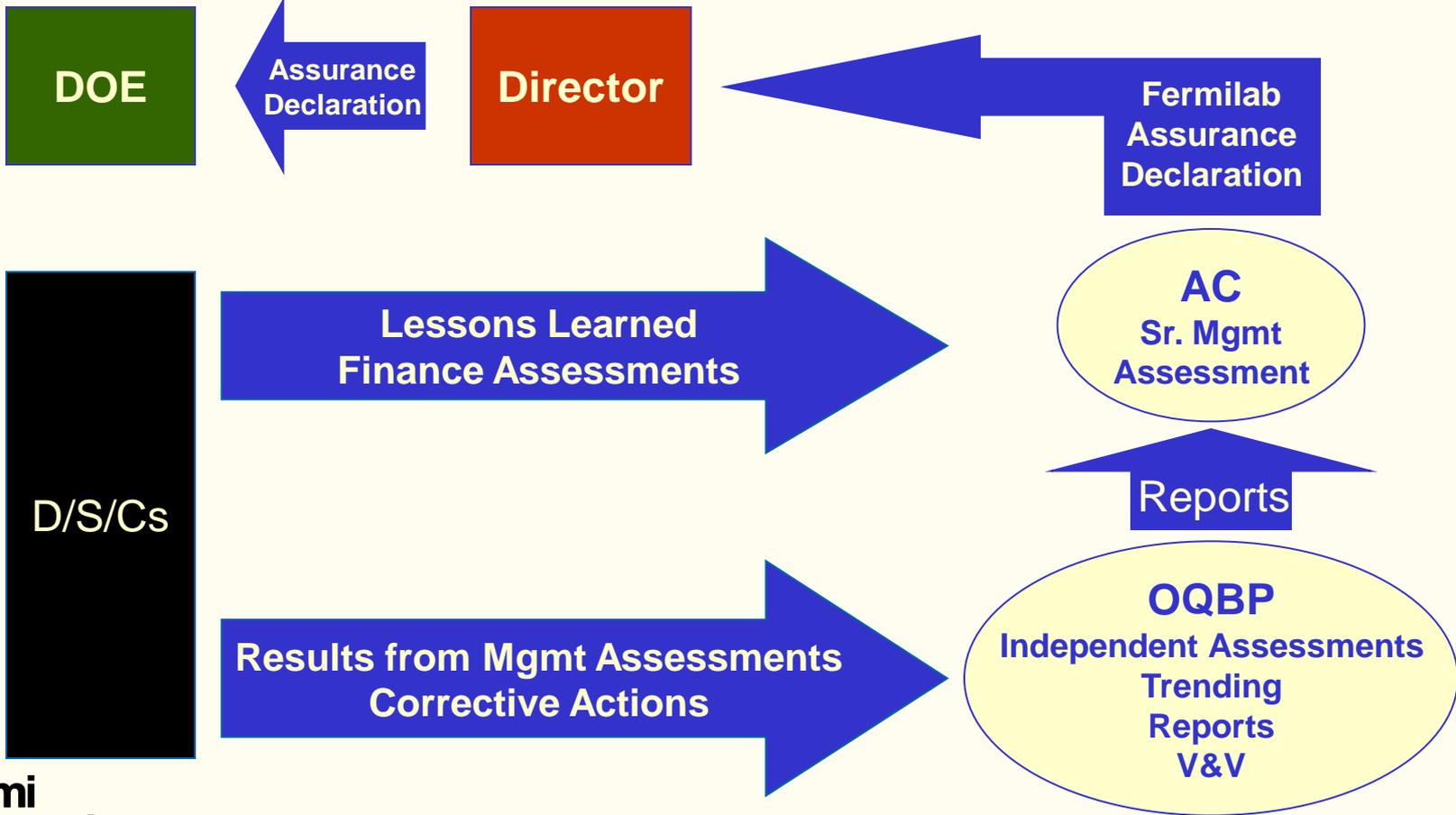


### Take Credit for Fermilab Assessments:

- **Special Assessments**
- **Director's Assessments**
- **Third Party Annual Peer Review (BSS, FESS, FI, WDRS)**
- **Third Party SME Review (CD)**

# Office of Quality and Best Practices

*Reporting*



# Office of Quality and Best Practices

## *Comprehensive Assessment Plan*

- ◆ Covers span of 3 Years (Approximately 1/3 of major processes each year)
  - ◆ Reduces workload
  - ◆ Critical areas may require more frequent reviews
- ◆ Systems are sampled – they do not have to be reviewed in their entirety
- ◆ Criteria
  - ◆ From DOE Criteria and Review Approach Documents (CRADs)
  - ◆ Ensures we're meeting the customer's expectations

# Office of Quality and Best Practices

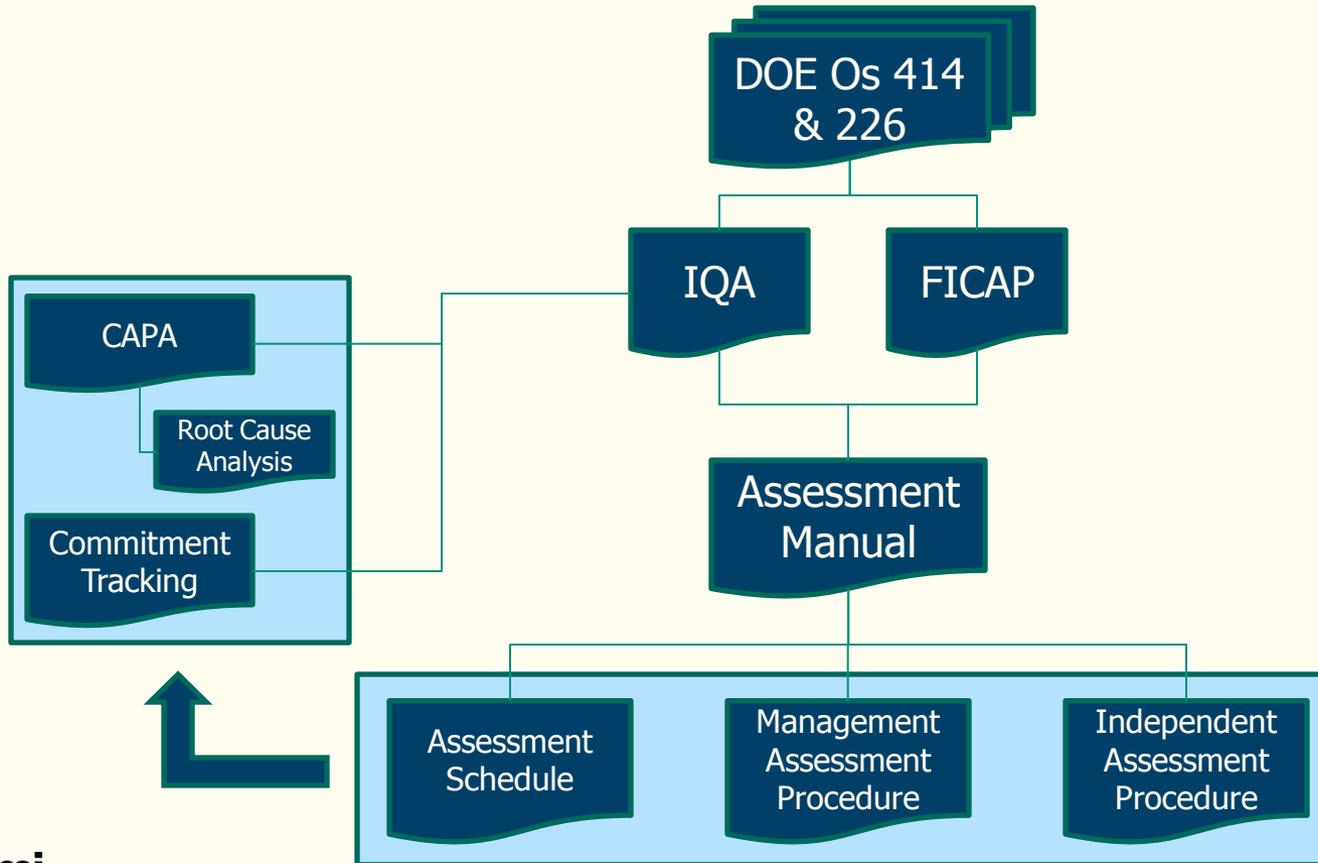
## *Comprehensive Assessment Plan - OQBP*

### ◆ OQBP

- ❖ Coordinates Performance of all, and performs portion of, Independent Assessments
- ❖ Assists D/S/Cs in scheduling and tracking Management (Self) Assessments
- ❖ Central repository for site checklists
- ❖ Corrective Action Plans
  - Approves action plans
  - Tracks corrective actions
  - Verification and Validation (V&V) of closure activities
- ❖ Tracks results of audits and reviews
  - Trends findings
- ❖ Reports results and status to Assurance Council

# Office of Quality and Best Practices

## Implementing Documents



# Office of Quality and Best Practices

## *Path Ahead*

- ◆ Comprehensive Assessment Manual
  - ◆ Ready for Review
- ◆ Management Assessment Procedure
  - ◆ Completed
- ◆ Schedule – Collaborative Development
- ◆ Checklists/Review Criteria
  - ◆ Ongoing – Library
- ◆ Site Communications
  - ◆ Staff Meetings
  - ◆ Articles in Fermilab Today

### Sources for consolidated assessment schedule:

- DOE O Requirements
- Areas of Management Concern
- Current assessment lists/req'ts
- Score card and other PEMP-driven assessments