



# **Quality Assurance vs. ISM Assessments**

**Discussion Facilitated by:  
Rex Beach and Norm Barker**

**Energy Facility Contractors Group  
Feedback and Improvement Sub-Group**

**October 25, 2007**

# INTRODUCTION

- Look at interface between QA and ISM
- Interactive session. Looking for dialogue and discussion
- Looking at assessments and self-assessments from ISM standpoint
- Any opportunities to consolidate assessments
  - Apply across the board
  - Problems created

# ISM vs. QA

- **Connotations between ISM and QA**
  - **QA assessments**
  - **Management assessments – have to fit in with ISM**
    - **No clear idea of how many to do and who will do them**
    - **No guarantee that data will be utilized appropriately**
  - **Self-Assessments and Independent-Assessments**
  - **Protocols**
  - **Metrics**
  - **DOE's definition of an assessment is narrow; more like an assist or an audit; no dialouge**
  - **What is the difference between ISM and QA?**
    - **ISM is assessment oriented**
    - **QA is product and design oriented; done by line organization/mgmt**
    - **Overlap found in management assessments**

# GENERALITIES

- **Quality Design Engineers are valuable in developing a solid QA Program**
- **QA doesn't necessarily talk to the organizational level**
- **Key words around QA Management Audits:**
  - **Surveillance audits**
  - **Programmatic audits**
  - **Functional audits**
  - **Performance audits**

# WHO PREFORMS QA ASSESSMENTS

- Who performs the audits for management QA assessments?
  - Independent assessment groups
  - An integrated assessment schedule is a key to determining who and when, as well as why
  - ISM requirements are satisfied by audits and management assessments as well as independent assessments (or self assessments)
  - At LLNL there has been a shift from a broad management assessment baseline to a smaller self-assessment baseline due to:
    - Difficulties finding consistency
    - Difficulties with training and qualifications
    - Difficulties meeting DOE requirements

# INTRODUCTION

- **Very difficult to train managers on every facet of assessment requirements**
- **Managers are too busy – let the QA groups do the internal audits/self-assessments; let the managers manage their programs and do the management assessments**
- **Use line managers to provide guidance to the QA group to identify where the needs for assessments are**
- **Surveillance should be used as a tool to help achieve more robust management and internal assessment programs**
- **Provide integrated assessment schedule to DOE; they identify the assessments to participate in; an integrated approach**

# QAP REQUIREMENTS

- QA programs requires review; ISM requires approval
- Quality Assurance is a management program
- Effective QA development:
  - Understanding requirements
  - Structure a game plan
  - Talk to regulators
  - Integrate into ISM
- Nuclear and non-nuclear requirements differ
- ISM looks for compliance
- QAP looks for quality improvement, cost efficiencies, etc.

# IDEAS?

- **Start up a joint task group between F&I and QA to discuss options for integration, simplification, non-duplication, and clarity**
  - **Identify criteria and develop a standardized approach to meeting requirements via development of a *flexible* assessment program**
    - **Focus on DOE P 226.1A and 414.1C, as well as other Orders and Policies**
    - **New DOE requirements need to be understood and formatted into a matrix on paper**
    - **Identify requirements and commonality of terms**
    - **Develop a training/qualification program using existing data, integrating existing requirements, and eliminating gaps**
    - **Revise Phase I and Phase II CRAD Handbook and integrate the ISM Guide**