

FERMI SITE OFFICE ASSESSMENT PLAN REVIEW OF THE  
FERMILAB INTEGRATED QUALITY ASSURANCE  
September 14 - 18, 2009



A Presentation to Computing Division  
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## Purpose of the presentation



- ⌘ To assure that management has adequate information to present to CD employees formally and informally
- ⌘ To provide pointers to relevant documents
- ⌘ To provide scope and logistics information about the assessment

Why this assessment? Fermilab Quality Assurance program is a contractual requirement for FRA.

How much flow-down? It is up to the management to determine what and how much information should be flowed down.

# Purpose of the assessment



- ⌘ To evaluate whether the documented program, as defined in IQA through Lab-wide procedures and the D/S/Center specific procedures, adequately address the requirements of DOE 414.1C and Contractor Requirements Document (CRD)
- ⌘ To status the level of QA implementation
- ⌘ Note on the scope from the QA assessment plan: “Information on early implementation of the IQA will be considered where available, however ascertaining effectiveness of QA program implementation will not be the primary focus of this assessment.”
- ⌘ Out of scope: Software development activities/Software QA
- ⌘ All scientific research done by CD employees are considered to be part of collaborations and their respective methodologies.

# DOE QA requirements (often called criteria)



- ☒ Program
- ☒ Personnel Training and Qualification
- ☒ Quality Improvement
- ☒ Documents and Records
- ☒ Work Processes
- ☒ Design
- ☒ Procurement
- ☒ Inspection and Acceptance Testing
- ☒ Management Assessment
- ☒ Independent Assessment
- ☒ Suspect/Counterfeit Items Prevention

## Relevant documents to be aware of

- ⌘ Integrated Quality Assurance (IQA) & Graded Approach Procedure
- ⌘ Fermilab Integrated Contract Assurance (FICAP) – important sections are assessment, quality improvement and corrective actions

Above documents are at

<http://www.fnal.gov/directorate/OQBP/index.htm>

All CD specific documents are in CD docDb under the topic area: Quality Assurance.

Managers should flow-down appropriate information found in the following documents:

- ⌘ Director's Policy Manual at Fermilab:  
[http://www.fnal.gov/directorate/Policy\\_Manual.html](http://www.fnal.gov/directorate/Policy_Manual.html)
- ⌘ ES&H Manual (FESHM) Table of Contents: [http://www-esh.fnal.gov/pls/default/esh\\_manuals.html](http://www-esh.fnal.gov/pls/default/esh_manuals.html)

# Selected QA related CD activities

- ⌘ The List of CD Assessments – July 2008 to August 2009 – CD docDb #3345. The list covers the following general areas:
  - ☒ Computer Security Assessments
  - ☒ Management Sponsored Assessments
  - ☒ ES&H Assessments
  - ☒ Facilities assessments/Walk-through
  - ☒ Independent Reviews of External Projects
  - ☒ Management Information System (MIS) Assessments.
- ⌘ Computing Division As-Is QA Assessment Status Report (Final) – CD docDb #3282
  - ⌘ Contains assessment results for the process areas addressed. Only selected areas were addressed.
  - ⌘ Contains descriptions of two best practices identified.

# What assessors might ask



This is a walk-about assessment. Assessors might ask:

- ⌘ What do you do? How do you know what to do? How do you prove you've done it?
- ⌘ How do you know the quality requirements for your work?
- ⌘ How are you informed and/or trained for new requirements/duties?
- ⌘ How are you trained and/or qualified for your job?
- ⌘ Who is your QAR?

# What will assessors look for



- ⌘ Written procedures and policies – find locations.  
Remember many CD procedures are scripted using workflow and are online
- ⌘ Make sure each person is following written (or scripted) procedures and policies
- ⌘ Check that paper records are properly completed; review logs for completeness; existence of old forms, procedures etc.
- ⌘ Check for qualifications (as defined by WDRS) and training (as in ITNA and TRAIN)
- ⌘ Make sure that procedures and documents are controlled (e.g. can be accessed using CD docDb whenever possible)

# What to prepare for



- ⌘ **Managers & Supervisors: Flow down the DOE QA assessment information to individual employee level**
- ⌘ Make employees aware of IQA program document
- ⌘ Make employees aware of the CD Quality Assurance Representative (QAR)
- ⌘ Increase awareness of the CD Corrective Action Plans (CAPs) as needed. We are actively working on them. Four CAP areas are:
  - ☒ CAP 1 – Record Management
  - ☒ CAP 2 – Document control
  - ☒ CAP 3 – Measurement and testing
  - ☒ CAP 4 – Training
- ⌘ There are 23 Lab-wide CAPS or deficiencies that Fermilab is working on. These CAPs are also considered as work in progress

## What to prepare for (Continued)



- ⌘ Demonstrate awareness regarding four items of concern identified during DOE QA Audit 2006. These items are: Training, Measurement and Testing (M&TE), Documents, and Records. As shown above, CD has one CAP for each of these areas.
- ⌘ Review and update ITNAs and Training records – encourage everybody to complete necessary training if needed.
- ⌘ Update and place documents in CD DocDb as appropriate
- ⌘ Perform walk-through of the work areas

# Points of contact (POC)



- ⌘ Bakul Banerjee (x5251, bakulb@fnal.gov, FCC 2<sup>nd</sup> floor), the division Quality Assurance Representative (since Oct. 08), is the primary contact person for the division for this assessment. She will coordinate the logistics for interviews and escort assessors as needed
- ⌘ Amy Pavnica and Gerry Bellendir are the alternate points of contact if Bakul is occupied by another auditor
- ⌘ Bakul/Amy/Gerry will work with key department heads to schedule interviews with individuals, attend interviews
- ⌘ The Quality Assurance Engineer(QAE) for CD is Kurt Mohr (OQBP). He may attend some of the interviews
- ⌘ Alicia Simmons will help Bakul do the scheduling
- ⌘ Senior management may be scheduled for interviews
- ⌘ Everybody is a point of contact for the division at some level.

# Do's and don'ts during interviews



## Do's

- ⌘ Answer honestly; do not elaborate unless asked
- ⌘ Be courteous to the auditors and the person or persons escorting them
- ⌘ Do highlight good practices in your work area, but not overly
- ⌘ If the auditor shows concern about certain aspects of the work, do not try to refute it. Note it down and request permission to follow up immediately. Later, make a quick investigation of the situation and inform management and the QAR.

## Don'ts

- ⌘ Avoid pointing out specific deficiencies
- ⌘ Do not argue about the reason for the assessment or anything else
- ⌘ Don't produce specific paper work, copies of procedures, documents etc. which may be outdated
- ⌘ Do not leave expired wall diagrams, outdated drawings, work instructions, old signature sheets and forms. Remove them.

Recipe



**One voice**

**One voice**

**One voice**

**Uniform flow-down of  
information is critical to the  
success!**