

ATTACHMENT 3



U.S. Department of Energy
Office of Civilian Radioactive Waste Management



Management Improvement Initiatives Implementation

Presented to:

DOE/NRC Quarterly Management Meeting

Presented by:

Gene E. Runkle

Program Improvement Manager

Office of Civilian Radioactive Waste Management

U.S. Department of Energy

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Five Key Areas for Improvement

- **Project Roles, Responsibilities, Authority, and Accountability (R2A2)**
- **Quality Assurance Programs and Processes**
- **Project Procedures**
- **Corrective Action Program**
- **Safety-Conscious Work Environment (SCWE)**



Summary of Implementation Status

- **25 Action Statements (of 35 total) were scheduled for completion by December 2002**
 - 18 were completed on schedule; 7 remain to be completed
- **Actions await completion of organizational alignment**
 - Program Manual held for arrival of new Deputy Director for the Office of Repository Development
 - ◆ Dual Deputy Program Manager organization represents significant change in management approach
 - ◆ Performance appraisal criteria pending completion of functional alignment and updated position descriptions
 - Revision 13 of Quality Assurance Requirements and Description (QARD) now in internal DOE review
 - Effectiveness indicators being populated with data and may be updated



Roles, Responsibilities, Authority, and Accountability

- **Objectives:**
 - Define functional area ownership and assign accountability
 - Improve long-term organizational stability into Program
- **Accomplishments:**
 - Program Manual (2 phases) defines functions within DOE and BSC
 - DOE reorganization aligns staff with functional areas



Roles, Responsibilities, Authority, and Accountability

(Continued)

- **Next steps:**
 - **Complete Phase 3 of Program Manual**
 - **Orient DOE and BSC staffs to respective R2A2s**
 - **Revise DOE annual performance appraisal criteria**
 - **Implementation, communication, and behavior change**
 - **Change management starting at the top**
 - **Accountability**

Quality Assurance Programs and Processes

- **Objective:**

- Implement QA requirements and processes within line management

- **Accomplishments:**

- Quality Assurance Requirements and Description (QARD) Revision 13 now in review to address
 - ◆ Comments from independent review
 - ◆ NRC comments on QARD Appendix B, *Storage and Transportation*
 - ◆ Office of Civilian Radioactive Waste Management (OCWRM) re-organization

- **Next Step:**

- QARD Revision 14 will incorporate 10 CFR Part 63



Program Procedures

- **Objectives:**
 - Effective and efficient procedures for DOE and BSC
 - Address all applicable requirements
- **Accomplishments:**
 - DOE and BSC procedures reviewed and compared to work scope
 - Proposed hierarchy documented in new procedure MP-5.1Q, “Processing of Procedures”
- **Next Steps:**
 - DOE prioritized transition process
 - ◆ Category 1 = do not rely on BSC infrastructure
 - ◆ Category 2 = rely on BSC infrastructure and resources
 - BSC revision to AP-5.1Q and procedures prioritization



Corrective Action Program

- **Objective:**
 - Single Corrective Action Program (CAP) under responsibility of Director, Office of Quality Assurance (OQA)
- **Accomplishment:**
 - Established single OCRWM CAP
- **Next Steps:**
 - Phased approach for software implementation for CAP:
 - ◆ Install & customize CAP software system (February 2003)
 - ◆ Acceptance testing of CAP software; training of managers, coordinators, and staff (March 2003)
 - ◆ “Production Ready” status; available for general use (April 2003)



Safety Conscious Work Environment

- **Objective:**
 - Work environment where everyone feels comfortable expressing issues and concerns without fear of harassment, intimidation, retaliation, or discrimination (HIRD)
- **Accomplishments:**
 - Policy statements issued and communicated
 - All managers, supervisors, and staff trained
 - Completed pre-2002 concerns; 2002 concerns current
 - BSC has taken action where SCWE policy not yet embraced



Safety Conscious Work Environment

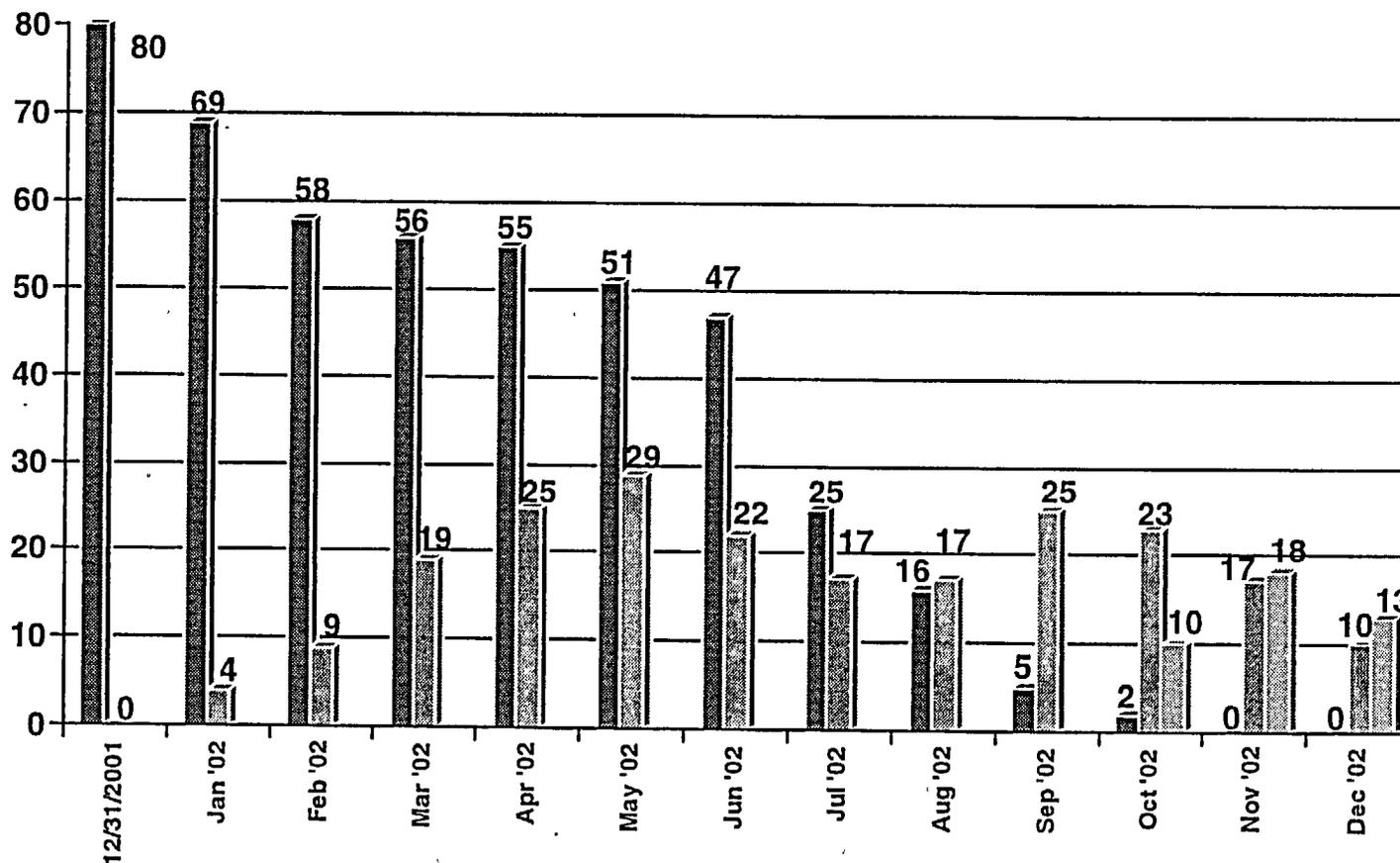
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- **Next Steps:**
 - Walk The Talk
 - BSC assessing effectiveness of SCWE training as part of contract performance evaluation
 - Independent evaluation of OCRWM SCWE in July 2003



YUCCA MOUNTAIN PROJECT

OCRWM and BSC Concerns Programs December 2002 Performance Indicators



- Total Concerns (Rec'd pre-2002) in Process (End of Month)
- Total 2002 OCRWM Concerns in Process (End of Month)
- Total 2002 BSC Concerns in Process (End of Month)



YUCCA MOUNTAIN PROJECT

OCRWM and BSC Concerns Programs Processing Times

Timeframe (2002)	Concern Priority	Processing Time Range (days)*	Processing Mean Time (days)*
Jan – June (OCRWM)	30 Days	7 - 313	84
	90 Days	136 - 277	207
June – Dec (OCRWM)	30 Days	1 – 92	40
	90 Days	35 - 110	68
Oct- Dec (BSC Program)	30 Days	14 – 64	38
	90 Days	34 - 91	56

* Data reported as of 12/31/03



YUCCA MOUNTAIN PROJECT

Effectiveness Indicators

- **As part of nuclear culture, use all 5 improvement areas in the evaluation of deficiencies**
 - Categorize type(s) of issues
 - Include in effectiveness reviews
- **DOE Management initiative started to make DOE line management aware of and accountable for closure of Deficiency Reports (DRs) and Corrective Action Reports (CARs)**
 - OQA Director tracking status
 - Reviews at regular senior DOE management meetings
- **Establishing monthly operating reviews focused on all Project metrics**



Effectiveness Indicators Examples

- **Safety Conscious Work Environment**
 - Time taken to address employee concerns
 - ◆ Less than 30 days for routine concerns
 - ◆ Less than 90 days for complex concerns
 - Seriousness of concerns
 - ◆ Cases of harassment, intimidation, retaliation, discrimination
 - SCWE survey results



Effectiveness Indicators Examples

(continued)

- **Corrective Action Program**

- **Numbers of DRs and CARs**

- ◆ Self-identified by BSC line organizations
 - ◆ Identified by BSC Quality Assurance
 - ◆ Identified by DOE Quality Assurance or externally

- **Timely Closure**

- ◆ Total number of DRs open (by BSC Department)
 - ◆ Number of DRs open more than 45 days
 - ◆ Total number of CARs open (by BSC Department)
 - ◆ Number of CARs open more than 100 days



Corrective Action Reports

- **CAR 1 (BSC-01-C-001) - Model Validation**
 - 8 of 12 corrective actions complete, 7 of 8 verified
 - Target date for remaining 4 actions is April 2004
- **CAR 2 (BSC-01-C-002) - Software Development**
 - 13 of 25 actions complete; 9 of 13 verified
 - Pilot implementation of the revised procedure (AP-SI.1Q, Software Management) being performed by BSC Performance Assessment
 - Training complete for all those currently using the revised procedure; revised procedure effective January 13, 2003
 - Success of pilot implementation would be basis for lifting the software stand-down
 - Target date for lifting stand-down is February 2003



Conclusions

- **18 of 25 Action Statements in Management Improvement Initiatives scheduled for completion by December 2002 are complete**
 - Remaining 7 actions expected complete by February 2003
- **OCRWM Concerns Program pre-2002 backlog clear**
 - 10 OCRWM and 13 BSC concerns from 2002 in process
 - Effectiveness Indicators are being populated with data and may be updated
- **Resolution of Corrective Action Reports continuing**
 - CAR 1 (BSC-01-C-001) - 8 of 12 actions complete, target date for remaining 4 is April 2004
 - CAR 2 (BSC-01-C-002) – 13 of 25 actions complete, target date for lifting stand-down is February 2003

