

## EM Corporate QA Performance Metrics

### Quality Program Criteria Summary

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

10 CFR 830.122		Score	
Criterion		Previous Period	Current Period
Management	1. Program		
	2. Personnel Training and Qualification		
	3. Quality Improvement		
	4. Documents and Records		
Performance	5. Work Processes		
	6. Design		
	7. Procurement		
	8. Inspection & Acceptance Testing		
Assessment	9. Management Assessment		
	10. Independent Assessment		

#### Performance Score



Excellent



Good



Investigate



Define Actions



N/A

## **EM Corporate QA Performance Metrics**

### Quality Program Criteria Summary

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

10 CFR 830.122		Score	
Criterion		Previous Period	Current Period
Supplemental	Suspect /Counterfeit Items		
Supplemental	Software QA		
Supplemental	Corrective Action		

Note: The selections in this table are linked to the overall rating for the individual criteria later in the document. That portion of the individual LOIs will be automatically completed based on the selections in this table.

#### Performance Score



Excellent



Good



Investigate



Define Actions



N/A

## **EM Corporate QA Performance Metrics**

10 CFR 830.122 & DOE O 414.1D

Criterion		Requirements
1	Program	1) Establish an organizational structure, functional responsibilities, levels of authority, and interfaces for those managing, performing, and assessing the work. 2) Establish management processes, including planning, scheduling, and providing resources for the work.
2	Personnel Training & Qualification	1) Train and qualify personnel to be capable of performing their assigned work. 2) Provide continuing training to personnel to maintain their job proficiency.
3	Quality Improvement	1) Establish and implement processes to detect and prevent quality problems. 2) Identify, control, and correct items, services, and processes that do not meet established requirements. 3) Identify the causes of problems, and include prevention of recurrence as a part of corrective action planning. 4) Review item characteristics, process implementation, and other quality related information to identify items, services, and processes needing improvement.
4	Documents and Records	1) Prepare, review, approve, issue, use, and revise documents to prescribe processes, specify requirements, or establish design. 2) Specify, prepare, review, approve, and maintain records.
5	Work Processes	1) Perform work consistent with technical standards, administrative controls, and other hazard controls adopted to meet regulatory or contract requirements, using approved instructions, procedures, or other appropriate means. 2) Identify and control items to ensure their proper use. 3) Maintain items to prevent their damage, loss, or deterioration. 4) Calibrate and maintain equipment used for process monitoring or data collection.
6	Design	1) Design items and processes using sound engineering/scientific principles and appropriate standards. 2) Incorporate applicable requirements and design bases in design work and design changes. 3) Identify and control design interfaces. 4) Verify or validate the adequacy of design products using individuals or groups other than those who performed the work. 5) Verify or validate work before approval and implementation of the design.
7	Procurement	1) Procure items and services that meet established requirements and perform as specified. 2) Evaluate and select prospective suppliers on the basis of specified criteria. 3) Establish and implement processes to ensure that approved suppliers continue to provide acceptable items and services.
8	Inspection & Acceptance Testing	1) Inspect and test specified items, services, and processes using established acceptance and performance criteria. 2) Calibrate and maintain equipment used for inspections and tests.
9	Management Assessment	Ensure managers assess their management processes and identify and correct problems that hinder the organization from achieving its objectives.

### **EM Corporate QA Performance Metrics**

10 CFR 830.122 & DOE O 414.1D

Criterion		Requirements
10	Independent Assessment	<p>1) Plan and conduct independent assessments to measure item and service quality, to measure the adequacy of work performance, and to promote improvement.</p> <p>2) Establish sufficient authority and freedom from line management for independent assessment teams.</p> <p>3) Ensure persons who perform independent assessments are technically qualified and knowledgeable in the areas to be assessed.</p>
--	Suspect/Counterfeit Items	<p>An S/CI prevention process must be developed and implemented as a part of the organization's quality assurance program (QAP) and commensurate with the facility/activity hazards and mission impact that will:</p> <p>1) ensure items and services meet specified requirements,</p> <p>2) prevent entry of S/CIs into the DOE/NNSA supply chain and</p> <p>3) ensure detection, control, reporting and disposition of S/CIs.</p>
--	Software Quality Assurance	<p>Safety software quality requirements are necessary to ensure that DOE/NNSA safety software in nuclear facilities performs its intended specific safety functions in relation to structures, systems, or components (SSCs) and that the classification, design, and analysis associated with nuclear facility operations is correct. Safety software must be acquired, developed and implemented using NQA-1-2008 with the NDA-1a-2009 addenda (or later addition) or per an approved QAP per DOE O 414.1C.</p> <p>Non-safety software quality requirements are necessary to ensure the software and its associated products conform to requirements and satisfy the intended use and user needs. All software is required to meet applicable QA requirements of the criteria listed in Attachment 4 of DOE O 414.1D, using a graded approach (i.e., criteria 1-10 of these metrics). The non-safety software discussions should be included in those sections where appropriate.</p>
--	Corrective Action	<p>Measures are taken to rectify conditions adverse to quality and where necessary, to preclude repetition. (NQA-1-2008 with the NQA-1a-2009 addenda)</p>

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

<b>MANAGEMENT/ PROGRAM [10 CFR 830 Criterion #1]</b>			<b>SCORE</b>
<b>NQA-1-2008/2009</b>	<b>Supported ISM Core Functions/Guiding Principles</b>		Last Year  This Year
1. Organization 2. Quality Assurance Program	<ul style="list-style-type: none"> <li>• Define Work</li> <li>• Identify/Analyze Hazards</li> <li>• Develop/Implement Controls</li> <li>• Perform Work within Controls</li> <li>• Feedback/Continuous Improvement</li> <li>• Line Management Responsibility</li> <li>• Clear Roles and Responsibilities</li> <li>• Competence Commensurate with Responsibilities</li> </ul>		
<b>Lines of Inquiry</b>	<b>Response</b>		
	Basis	Supporting Documents	Score
A The quality management system (QMS) defines and documents the established organizational structure and responsibility assignments such that senior management establishes overall expectations for effective implementation of the quality assurance program and is responsible for obtaining the end result; quality is achieved and maintained by those assigned responsibility for performing the work; quality achievement is verified by those not responsible for performing the work.			Last Year  This Year

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

<b>MANAGEMENT/ PROGRAM [10 CFR 830 Criterion #1]</b>			<b>SCORE</b>
<b>NQA-1-2008/2009</b>	<b>Supported ISM Core Functions/Guiding Principles</b>		Last Year  This Year
1. Organization 2. Quality Assurance Program	<ul style="list-style-type: none"> <li>• Define Work</li> <li>• Identify/Analyze Hazards</li> <li>• Develop/Implement Controls</li> <li>• Perform Work within Controls</li> <li>• Feedback/Continuous Improvement</li> <li>• Line Management Responsibility</li> <li>• Clear Roles and Responsibilities</li> <li>• Competence Commensurate with Responsibilities</li> </ul>		
<b>Lines of Inquiry</b>	<b>Response</b>		
	Basis	Supporting Documents	Score
The QMS describes a quality assurance organization that has sufficient resources and qualifications to perform its functions.			Last Year  This Year

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

[illegible]

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

<b>MANAGEMENT/ PERSONNEL TRAINING AND QUALIFICATION [10 CFR 830 Criterion #2]</b>			<b>SCORE</b>
<b>NQA-1-2008/2009</b>	<b>Supported ISM Core Functions/Guiding Principles</b>		Last Year  This Year
2. Quality Assurance Program	<ul style="list-style-type: none"> <li>• Define Work</li> <li>• Identify/Analyze Hazards</li> <li>• Develop/Implement Controls</li> <li>• Perform Work within Controls</li> <li>• Feedback/Continuous Improvement</li> <li>• Line Management Responsibility</li> <li>• Clear Roles and Responsibilities</li> <li>• Competence Commensurate with Responsibilities</li> </ul>		
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
A The methodology is well described for establishing requirements to indoctrinate, train, qualify and maintain proficiency of personnel performing or managing activities affecting quality and is commensurate with the scope, complexity, importance of the activities, and the education, experience and proficiency of the individuals.			Last Year  This Year



## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

MANAGEMENT/ PERSONNEL TRAINING AND QUALIFICATION [10 CFR 830 Criterion #2]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
2. Quality Assurance Program	<ul style="list-style-type: none"> <li>Define Work</li> <li>Identify/Analyze Hazards</li> <li>Develop/Implement Controls</li> <li>Perform Work within Controls</li> <li>Feedback/Continuous Improvement</li> <li>Line Management Responsibility</li> <li>Clear Roles and Responsibilities</li> <li>Competence Commensurate with Responsibilities</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
Adequate resources have been identified to support the selection, training, and qualification of personnel conducting work.			Last Year  This Year

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

MANAGEMENT/ PERSONNEL TRAINING AND QUALIFICATION [10 CFR 830 Criterion #2]			SCORE
<b>NQA-1-2008/2009</b>	<b>Supported ISM Core Functions/Guiding Principles</b>		Last Year
2. Quality Assurance Program	<ul style="list-style-type: none"> <li>Define Work</li> <li>Identify/Analyze Hazards</li> <li>Develop/Implement Controls</li> <li>Perform Work within Controls</li> <li>Feedback/Continuous Improvement</li> <li>Line Management Responsibility</li> <li>Clear Roles and Responsibilities</li> <li>Competence Commensurate with Responsibilities</li> </ul>		
<b>Lines of Inquiry</b>	<b>Response</b>		
	Basis	Supporting Documents	Score
<p>Requirements are defined and implemented for the qualification and/or certification of personnel in the various functional areas (e.g., audit personnel, subject matter experts, inspection and test personnel, welders, etc.) and is commensurate with the scope, complexity, importance of the activities, and the education, experience and proficiency of the individuals.</p>			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

MANAGEMENT/ QUALITY IMPROVEMENT [10 CFR 830 Criterion #3]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
2. Quality Assurance Program 15. Control of Nonconforming Items 16. Corrective Action	<ul style="list-style-type: none"> <li>Feedback/Continuous Improvement</li> <li>Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
<p>The organization has established, implemented, and documented processes to promptly detect and prevent quality problems such as conditions adverse to quality and nonconforming items.</p> <p>A</p>			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

MANAGEMENT/ QUALITY IMPROVEMENT [10 CFR 830 Criterion #3]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
2. Quality Assurance Program 15. Control of Nonconforming Items 16. Corrective Action	<ul style="list-style-type: none"> <li>Feedback/Continuous Improvement</li> <li>Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
A process is identified to review process implementation, item characteristics, and other quality-related information to effect continuous improvement to the Quality Management Program.			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

MANAGEMENT/ QUALITY IMPROVEMENT [10 CFR 830 Criterion #3]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
2. Quality Assurance Program 15. Control of Nonconforming Items 16. Corrective Action	<ul style="list-style-type: none"> <li>Feedback/Continuous Improvement</li> <li>Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
Controls provide for identification, documentation, evaluation, notification to affected organizations, segregation when practical, and disposition of nonconforming items.			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

MANAGEMENT/ QUALITY IMPROVEMENT [10 CFR 830 Criterion #3]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
2. Quality Assurance Program 15. Control of Nonconforming Items 16. Corrective Action	<ul style="list-style-type: none"> <li>Feedback/Continuous Improvement</li> <li>Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
D The QMS implements a performance analysis system that monitors the health of the quality improvement element. The system provides feedback to the affected organization and related organizational entities.			Last Year
			This Year

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

[illegible]

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

MANAGEMENT/ DOCUMENTS AND RECORDS [10 CFR 830 Criterion #4]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year  This Year
5. Instructions, Procedures, and Drawings 6. Document Control 17. Quality Assurance Records	<ul style="list-style-type: none"> <li>Define Work</li> <li>Identify/Analyze Hazards</li> <li>Develop/Implement Controls</li> <li>Perform Work within Controls</li> <li>Balanced Priorities</li> <li>Identification of Safety Standards</li> <li>Hazard Controls Tailored to Work</li> <li>Operations Authorization</li> </ul>		
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
A Functions and activities affecting quality and services are effectively described and performed in approved, documented, and controlled instructions, procedures, or drawings that include or reference appropriate quantitative or qualitative acceptance criteria for determining that prescribed activities have been satisfactorily accomplished, and the level of detail is commensurate with the complexity of the activity and the need to assure consistent acceptable results.			Last Year  This Year



## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

<b>MANAGEMENT/ DOCUMENTS AND RECORDS [10 CFR 830 Criterion #4]</b>			<b>SCORE</b>
<b>NQA-1-2008/2009</b>	<b>Supported ISM Core Functions/Guiding Principles</b>		Last Year  This Year
5. Instructions, Procedures, and Drawings 6. Document Control 17. Quality Assurance Records	<ul style="list-style-type: none"> <li>• Define Work</li> <li>• Identify/Analyze Hazards</li> <li>• Develop/Implement Controls</li> <li>• Perform Work within Controls</li> <li>• Balanced Priorities</li> <li>• Identification of Safety Standards</li> <li>• Hazard Controls Tailored to Work</li> <li>• Operations Authorization</li> </ul>		
<b>Lines of Inquiry</b>	<b>Response</b>		
	Basis	Supporting Documents	Score
<b>B</b> Quality assurance records are legible, traceable to associated items and completed work activities from applicable documents, such as design specifications, procurement documents, test procedures, and operational procedures; accurately reflect the work accomplished or information required; properly identified, classified, and specified; authenticated, controlled, and maintained; and their final disposition is specified.			Last Year  This Year

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

[illegible]

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

MANAGEMENT/ DOCUMENTS AND RECORDS [10 CFR 830 Criterion #4]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
5. Instructions, Procedures, and Drawings 6. Document Control 17. Quality Assurance Records	<ul style="list-style-type: none"> <li>Define Work</li> <li>Identify/Analyze Hazards</li> <li>Develop/Implement Controls</li> <li>Perform Work within Controls</li> <li>Balanced Priorities</li> <li>Identification of Safety Standards</li> <li>Hazard Controls Tailored to Work</li> <li>Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
D The QMS describes how procedures are prepared, reviewed, approved, issued, used, and revised to prescribe processes, specify requirements, or establish design.			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

PERFORMANCE/ WORK PROCESSES [10 CFR 830 Criterion #5]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
5. Instructions, Procedures, & Drawings 8. Identification & Control of Items 9. Control of Special Processes 12. Control of Measuring & Test Equipment 13. Handling, Storage, & Shipping 14. Inspection, Test, & Operating Status Subpart 2.7 SQA	<ul style="list-style-type: none"> <li>• Define Work</li> <li>• Identify/Analyze Hazards</li> <li>• Develop/Implement Controls Perform Work within Controls</li> <li>• Balanced Priorities</li> <li>• Identification of Safety Standards</li> <li>• Hazard Controls Tailored to Work</li> <li>• Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
A Core functions and guiding principles of the DOE Integrated Safety Management System are addressed consistent with DOE O 450.2, <i>Integrated Safety Management</i> , DOE P 450.4, <i>Safety Management System Policy</i> , and applicable chapters in DOE O 5480.19, <i>Conduct of Operations Requirements for DOE Facilities</i> , such that work is performed consistent with technical standards, administrative controls, and other hazard controls adopted to meet regulatory or contract requirements			Last Year
			This Year

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

<b>PERFORMANCE/ WORK PROCESSES [10 CFR 830 Criterion #5]</b>			<b>SCORE</b>
<b>NQA-1-2008/2009</b>	<b>Supported ISM Core Functions/Guiding Principles</b>		Last Year
5. Instructions, Procedures, & Drawings 8. Identification & Control of Items 9. Control of Special Processes 12. Control of Measuring & Test Equipment 13. Handling, Storage, & Shipping 14. Inspection, Test, & Operating Status Subpart 2.7 SQA	<ul style="list-style-type: none"> <li>• Define Work</li> <li>• Identify/Analyze Hazards</li> <li>• Develop/Implement Controls Perform Work within Controls</li> <li>• Balanced Priorities</li> <li>• Identification of Safety Standards</li> <li>• Hazard Controls Tailored to Work</li> <li>• Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
B The QMS provides methods to identify and control items including S/CI, to ensure their proper use consistent with DOE G 414.1-2B and it addresses suspect counterfeit items.			<div>Last Year</div> <div>This Year</div>

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

PERFORMANCE/ WORK PROCESSES [10 CFR 830 Criterion #5]			SCORE
<b>NQA-1-2008/2009</b>	<b>Supported ISM Core Functions/Guiding Principles</b>		Last Year
5. Instructions, Procedures, & Drawings 8. Identification & Control of Items 9. Control of Special Processes 12. Control of Measuring & Test Equipment 13. Handling, Storage, & Shipping 14. Inspection, Test, & Operating Status Subpart 2.7 SQA	<ul style="list-style-type: none"> <li>• Define Work</li> <li>• Identify/Analyze Hazards</li> <li>• Develop/Implement Controls Perform Work within Controls</li> <li>• Balanced Priorities</li> <li>• Identification of Safety Standards</li> <li>• Hazard Controls Tailored to Work</li> <li>• Operations Authorization</li> </ul>		
<b>Lines of Inquiry</b>	<b>Response</b>		
	<b>Basis</b>	<b>Supporting Documents</b>	<b>Score</b>
C The method to maintain items to prevent their damage, loss, or deterioration is adequately described. This method addresses the requirements (e.g., DOE O 433.1B, <i>Maintenance Management Program for DOE Nuclear Facilities</i> ).			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

PERFORMANCE/ WORK PROCESSES [10 CFR 830 Criterion #5]			SCORE
<b>NQA-1-2008/2009</b>	<b>Supported ISM Core Functions/Guiding Principles</b>		Last Year
5. Instructions, Procedures, & Drawings 8. Identification & Control of Items 9. Control of Special Processes 12. Control of Measuring & Test Equipment 13. Handling, Storage, & Shipping 14. Inspection, Test, & Operating Status Subpart 2.7 SQA	<ul style="list-style-type: none"> <li>• Define Work</li> <li>• Identify/Analyze Hazards</li> <li>• Develop/Implement Controls Perform Work within Controls</li> <li>• Balanced Priorities</li> <li>• Identification of Safety Standards</li> <li>• Hazard Controls Tailored to Work</li> <li>• Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
D Special processes that control or verify quality, such as those used in welding, heat treating, and nondestructive examination, are performed by qualified personnel using approved procedures or instructions compliant with the requirements of applicable codes and standards, including acceptance criteria.			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

PERFORMANCE/ WORK PROCESSES [10 CFR 830 Criterion #5]			SCORE
<b>NQA-1-2008/2009</b>	<b>Supported ISM Core Functions/Guiding Principles</b>		Last Year
5. Instructions, Procedures, & Drawings 8. Identification & Control of Items 9. Control of Special Processes 12. Control of Measuring & Test Equipment 13. Handling, Storage, & Shipping 14. Inspection, Test, & Operating Status Subpart 2.7 SQA	<ul style="list-style-type: none"> <li>• Define Work</li> <li>• Identify/Analyze Hazards</li> <li>• Develop/Implement Controls Perform Work within Controls</li> <li>• Balanced Priorities</li> <li>• Identification of Safety Standards</li> <li>• Hazard Controls Tailored to Work</li> <li>• Operations Authorization</li> </ul>		
<b>Lines of Inquiry</b>	<b>Response</b>		
	<b>Basis</b>	<b>Supporting Documents</b>	<b>Score</b>
Tools, gauges, instruments, and other measuring and test equipment used for activities affecting quality are controlled and calibrated at specific periods, adjusted and maintained to required accuracy limits.			Last Year
			This Year



**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

PERFORMANCE/ WORK PROCESSES [10 CFR 830 Criterion #5]			SCORE
<b>NQA-1-2008/2009</b>	<b>Supported ISM Core Functions/Guiding Principles</b>		Last Year
5. Instructions, Procedures, & Drawings 8. Identification & Control of Items 9. Control of Special Processes 12. Control of Measuring & Test Equipment 13. Handling, Storage, & Shipping 14. Inspection, Test, & Operating Status Subpart 2.7 SQA	<ul style="list-style-type: none"> <li>• Define Work</li> <li>• Identify/Analyze Hazards</li> <li>• Develop/Implement Controls Perform Work within Controls</li> <li>• Balanced Priorities</li> <li>• Identification of Safety Standards</li> <li>• Hazard Controls Tailored to Work</li> <li>• Operations Authorization</li> </ul>		
<b>Lines of Inquiry</b>	<b>Response</b>		
	<b>Basis</b>	<b>Supporting Documents</b>	<b>Score</b>
F Status of inspection and test activities is identified either on the items or in documents traceable to the items where it is necessary to ensure that required inspections and tests are performed and to ensure that items which have not passed the required inspections and tests are not inadvertently installed, used, or operated.			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

PERFORMANCE/ DESIGN [10 CFR 830 Criterion #6]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
3. Design Control Subpart 2.7 SQA	<ul style="list-style-type: none"><li>• Define Work</li><li>• Identify/Analyze Hazards</li><li>• Develop/Implement Controls</li><li>• Perform Work within Controls</li><li>• Balanced Priorities</li><li>• Identification of Safety Standards</li><li>• Hazard Controls Tailored to Work</li><li>• Operations Authorization</li></ul>		
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
A  The QMS describes a process for design verification and/or validation for design products including software related to safety systems, before approval and implementation of the design. The process requires the use of individuals or groups other than those who performed the work to perform design validation activities.			Last Year
			This Year

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

PERFORMANCE/ DESIGN [10 CFR 830 Criterion #6]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
3. Design Control Subpart 2.7 SQA	<ul style="list-style-type: none"><li>• Define Work</li><li>• Identify/Analyze Hazards</li><li>• Develop/Implement Controls</li><li>• Perform Work within Controls</li><li>• Balanced Priorities</li><li>• Identification of Safety Standards</li><li>• Hazard Controls Tailored to Work</li><li>• Operations Authorization</li></ul>		
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
Design items and processes use sound engineering/scientific principles and appropriate Standards and Orders (i.e., DOE O 420.1C, <i>Facility Safety</i> ). The process addresses change control (changes to design inputs, final designs, field changes and temporary and permanent modifications to operating facilities) that ensures the changes are subject to design control measures commensurate with those applied to the original design			Last Year
			This Year

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

PERFORMANCE/ DESIGN [10 CFR 830 Criterion #6]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
3. Design Control Subpart 2.7 SQA	<ul style="list-style-type: none"> <li>• Define Work</li> <li>• Identify/Analyze Hazards</li> <li>• Develop/Implement Controls</li> <li>• Perform Work within Controls</li> <li>• Balanced Priorities</li> <li>• Identification of Safety Standards</li> <li>• Hazard Controls Tailored to Work</li> <li>• Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
C  Design interfaces are identified and controlled, within the design authority and externally with customers and suppliers, including subcontractors.			Last Year
			This Year

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

PERFORMANCE/ DESIGN [10 CFR 830 Criterion #6]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
3. Design Control Subpart 2.7 SQA	<ul style="list-style-type: none"> <li>Define Work</li> <li>Identify/Analyze Hazards</li> <li>Develop/Implement Controls</li> <li>Perform Work within Controls</li> <li>Balanced Priorities</li> <li>Identification of Safety Standards</li> <li>Hazard Controls Tailored to Work</li> <li>Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
D Design verification evaluations are tailored as a function of importance to safety, complexity of the design, degree of standardization, state-of-the-art, and similarity with previously proved designs.			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

PERFORMANCE/ DESIGN [10 CFR 830 Criterion #6]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year  <

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

PERFORMANCE/ DESIGN [10 CFR 830 Criterion #6]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
3. Design Control Subpart 2.7 SQA	<ul style="list-style-type: none"><li>• Define Work</li><li>• Identify/Analyze Hazards</li><li>• Develop/Implement Controls</li><li>• Perform Work within Controls</li><li>• Balanced Priorities</li><li>• Identification of Safety Standards</li><li>• Hazard Controls Tailored to Work</li><li>• Operations Authorization</li></ul>		
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
F Software design requirements are identified and documented and their selection reviewed and approved and shall include identification of the operating system, function, interfaces, performance requirements, installation considerations, design inputs, and any design constraints of the computer program.			Last Year
			This Year

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

[illegible]



## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

PERFORMANCE/ PROCUREMENT [10 CFR 830 Criterion #7]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
4. Procurement Document Control 7. Control of Purchased Items and Services Subpart 2.7 SQA	<ul style="list-style-type: none"> <li>Define Work</li> <li>Identify/Analyze Hazards</li> <li>Develop/Implement Controls</li> <li>Perform Work within Controls</li> <li>Balanced Priorities</li> <li>Identification of Safety Standards</li> <li>Hazard Controls Tailored to Work</li> <li>Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
The system to evaluate and select prospective suppliers based on specified criteria performs satisfactorily.			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

PERFORMANCE/ PROCUREMENT [10 CFR 830 Criterion #7]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year  <

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

<b>PERFORMANCE /INSPECTION AND ACCEPTANCE TESTING [10 CFR 830 Criterion #8]</b>			<b>SCORE</b>
<b>NQA-1-2008/2009</b>	<b>Supported ISM Core Functions/Guiding Principles</b>		Last Year
3. Design Control 8. Identification & Control of Items 10. Inspection 11. Test Control 12. Control of Measuring and Test Equipment 14. Inspection, Test, and Operating Status	<ul style="list-style-type: none"> <li>• Feedback/Continuous Improvement</li> <li>• Operations Authorization</li> </ul>		This Year
<b>Lines of Inquiry</b>	<b>Response</b>		
	Basis	Supporting Documents	Score
A Inspections and tests are specified for items, services, and processes. Acceptance and performance criteria are established and used.			<p>Last Year</p> <p>This Year</p>

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

PERFORMANCE /INSPECTION AND ACCEPTANCE TESTING [10 CFR 830 Criterion #8]			SCORE
<b>NQA-1-2008/2009</b>	<b>Supported ISM Core Functions/Guiding Principles</b>		Last Year
3. Design Control 8. Identification & Control of Items 10. Inspection 11. Test Control 12. Control of Measuring and Test Equipment 14. Inspection, Test, and Operating Status	<ul style="list-style-type: none"> <li>Feedback/Continuous Improvement</li> <li>Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
B The system for documenting the results of inspections and tests performs satisfactorily.			Last Year
			This Year

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

PERFORMANCE /INSPECTION AND ACCEPTANCE TESTING [10 CFR 830 Criterion #8]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
3. Design Control 8. Identification & Control of Items 10. Inspection 11. Test Control 12. Control of Measuring and Test Equipment 14. Inspection, Test, and Operating Status	<ul style="list-style-type: none"> <li>Feedback/Continuous Improvement</li> <li>Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
<p>Inspection and test equipment is controlled</p> <p>C by a process to ensure it is calibrated and maintained.</p>			<p>Last Year</p> <p>This Year</p>

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

ASSESSMENT/ MANAGEMENT ASSESSMENT [10 CFR 830 Criterion #9]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
2. Quality Assurance Program 16. Corrective Action 18. Audits	<ul style="list-style-type: none"> <li>Feedback/Continuous Improvement</li> <li>Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
A The QMS describes how managers, at all levels, assess their management processes.			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

ASSESSMENT/ MANAGEMENT ASSESSMENT [10 CFR 830 Criterion #9]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
2. Quality Assurance Program 16. Corrective Action 18. Audits	<ul style="list-style-type: none"> <li>Feedback/Continuous Improvement</li> <li>Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
B The QMS provide for the prompt identification and correction of problems that hinder the organization from achieving its objectives.			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

ASSESSMENT/ MANAGEMENT ASSESSMENT [10 CFR 830 Criterion #9]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
2. Quality Assurance Program 16. Corrective Action 18. Audits	<ul style="list-style-type: none"> <li>Feedback/Continuous Improvement</li> <li>Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
C Managers take responsibility for, and directly participate in, the assessments.			<p>Last Year</p> <p>This Year</p>



## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

ASSESSMENT/ INDEPENDENT ASSESSMENT [10 CFR 830 Criterion #10]			SCORE
<b>NQA-1-2008/2009</b>	<b>Supported ISM Core Functions/Guiding Principles</b>		Last Year
1. Organization 2. Quality Assurance Program 10. Inspection 11. Test Control 15. Control of Nonconforming Items 16. Corrective Action 18. Audits	<ul style="list-style-type: none"> <li>Feedback/Continuous Improvement</li> <li>Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
<p>A Independent assessments (e.g., audits) are planned and conducted to verify that performance criteria are met, and to determine the effectiveness of the program.</p>			<p>Last Year</p> <p>This Year</p>

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

[illegible]

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

ASSESSMENT/ INDEPENDENT ASSESSMENT [10 CFR 830 Criterion #10]			SCORE
NQA-1-2008/2009	Supported ISM Core Functions/Guiding Principles		Last Year
1. Organization 2. Quality Assurance Program 10. Inspection 11. Test Control 15. Control of Nonconforming Items 16. Corrective Action 18. Audits	<ul style="list-style-type: none"> <li>Feedback/Continuous Improvement</li> <li>Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
C The group performing independent assessments has sufficient authority and freedom from line management (i.e., not directly responsible for the work being assessed) and the persons who perform independent assessments are technically qualified and knowledgeable in the areas to be assessed.			Last Year  This Year

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

ASSESSMENT/ INDEPENDENT ASSESSMENT [10 CFR 830 Criterion #10]			SCORE
<b>NQA-1-2008/2009</b>	<b>Supported ISM Core Functions/Guiding Principles</b>		Last Year
1. Organization 2. Quality Assurance Program 10. Inspection 11. Test Control 15. Control of Nonconforming Items 16. Corrective Action 18. Audits	<ul style="list-style-type: none"> <li>• Feedback/Continuous Improvement</li> <li>• Operations Authorization</li> </ul>		This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
Management of the audited organization or activity investigate adverse audit findings, schedule corrective action, including D measures to prevent recurrence of significant conditions adverse to quality, and notify the appropriate organization in writing of action taken or planned.			<div>Last Year</div> <div>This Year</div>

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

SUSPECT / COUNTERFEIT ITEMS (S/CI) [DOE O 414.1D, Section 4 & Attachment 3]			SCORE
NQA-1-2008/2009			Last Year
7. Control of Purchased Items & Services 8. Identification & Control of Items 10. Inspection 15. Control of Nonconforming Items			This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
A S/CI program is in place to adequately A identifies problems, control non conforming items and prevent their use.			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

SUSPECT / COUNTERFEIT ITEMS (S/CI) [DOE O 414.1D, Section 4 & Attachment 3]			SCORE
NQA-1-2008/2009			Last Year
7. Control of Purchased Items & Services 8. Identification & Control of Items 10. Inspection 15. Control of Nonconforming Items			This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
B Oversight of the S/CI process is performed to ensure it is functioning adequately.			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

SUSPECT / COUNTERFEIT ITEMS (S/CI) [DOE O 414.1D, Section 4 & Attachment 3]			SCORE
NQA-1-2008/2009			Last Year
7. Control of Purchased Items & Services 8. Identification & Control of Items 10. Inspection 15. Control of Nonconforming Items			This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
C Corrective actions for S/CI identified issues are adequately performed and tracked to ensure closure and provide lessons learned.			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

SAFETY SOFTWARE QUALITY (SQA) REQUIREMENTS [DOE O 414.1D, Section 5 & Attachment 4]			SCORE
NQA-1-2008/2009			Last Year
3. Design 5. Instructions, Procedures and Drawings 7. Control of Purchased Items & Services 11. Test Control			This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
Safety software quality assurance A requirements are adequately incorporated into a formal QA program.			Last Year
			This Year



**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

SAFETY SOFTWARE QUALITY (SQA) REQUIREMENTS [DOE O 414.1D, Section 5 & Attachment 4]			SCORE
NQA-1-2008/2009			Last Year
3. Design 5. Instructions, Procedures and Drawings 7. Control of Purchased Items & Services 11. Test Control			This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
Safety software utilized by contractor has B DOE software quality assurance requirements applied.			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

SAFETY SOFTWARE QUALITY (SQA) REQUIREMENTS [DOE O 414.1D, Section 5 & Attachment 4]			SCORE
NQA-1-2008/2009			Last Year
3. Design 5. Instructions, Procedures and Drawings 7. Control of Purchased Items & Services 11. Test Control			This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
Management and/or Independent C assessments performed, specifically address safety software quality requirements			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

CORRECTIVE ACTION (CA) MANAGEMENT PROGRAM [DOE O 414.1C, Attachment 4]			SCORE
NQA-1-2008/2009			Last Year
16. Corrective Action			This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
A A corrective action management program is in place, personnel are trained on its usage and is functional for tracking issues and quality problems.			Last Year
			This Year

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

CORRECTIVE ACTION (CA) MANAGEMENT PROGRAM [DOE O 414.1C, Attachment 4]			SCORE
NQA-1-2008/2009			Last Year
16. Corrective Action			This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
<p>An organization or person is identified and empowered to be responsible for managing and tracking corrective action.</p>			Last Year
			This Year

## EM Corporate Performance Metrics

### Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

CORRECTIVE ACTION (CA) MANAGEMENT PROGRAM [DOE O 414.1C, Attachment 4]			SCORE
NQA-1-2008/2009			Last Year
16. Corrective Action			This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
<p>C Issues and associated corrective action are adequately communicated to others for operational awareness and lessons learned outside the affected organization.</p>			<p>Last Year</p> <p>This Year</p>

**EM Corporate Performance Metrics**  
Quality Program Criteria

Site: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_.

CORRECTIVE ACTION (CA) MANAGEMENT PROGRAM [DOE O 414.1C, Attachment 4]			SCORE
NQA-1-2008/2009			Last Year
16. Corrective Action			This Year
Lines of Inquiry	Response		
	Basis	Supporting Documents	Score
<p>The QMS describes methods for addressing cause, extent, and remedial and preventative corrective actions for conditions adverse to quality to prevent recurrence and the completion of corrective actions is verified.</p>			Last Year
			This Year