



DOECAP Laboratories Phased Audits

**U.S. Department of Defense
2016 Environmental Monitoring and Data Quality Workshop
St. Louis, Missouri
April 14, 2016**

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Historical Perspective



DOE Office of Inspector General (IG): Audit Report IG-0374, *Audit of the DOE's Commercial Laboratory Quality Assurance Evaluation Program*, June 20, 1995

Finding 1: DOE contractors conducted redundant QA evaluations of some commercial laboratories and did not evaluate others.

Finding 2: Audit methods and requirements varied from one contractor to another, and inconsistent audit reports.

Finding 3: Audit results not shared between contractors.



Eliminating Audit Redundancies



- Annually, DOECAP conducts:
 - ~23 audits of both environmental analytical and industrial hygiene laboratories
 - ~9 audits of radiological and non-radiological hazardous waste treatment, storage, and disposal facilities (TSDFs)
 - Cost savings: \$7.2 million by eliminating 170 field audits/annually
- Audited facilities are determined based on:
 - Multiple DOE contract users
 - Amount of money (>\$50K)
 - Ability to staff audit teams
- Specific requests from DOE site managers (plus a commitment to staff the audit team), the ASP Manager will consider adding a facility to the audit list



Program Formality



- DOECAP Procedures AD-1, *Policies and Practices*
- Standardized documents: Audit notification letter, audit plan, audit report/corrective action plan
- DOECAP Audit Checklist
- QSM requirements
- DOECAP Auditor Training Program:
 - Auditors are volunteers from the DOE Program Offices, site/field offices and contractors
 - Current cadre of DOECAP-qualified auditors:
 - 59 laboratory auditors, 12 lead auditors, and 7 auditors-in-training
 - 68 TSDF auditors, 12 lead auditors, and 7 auditors-in-training
 - Auditor skill set transferred to field site on-site assessments





Audit Reports and Corrective Action Plans



- Official Use Only
- DOECAP audit reports are sent to the DOE line/field managers
- DOECAP participants (DOE Program Offices, sites, and contractors) have access to audit reports and facility corrective action plans on the secure SharePoint Electronic Data System



Information Sharing/Lessons Learned



- Weekly conference calls with DOECAP participants (alternating weeks for the laboratory and TSDf calls)
- Periodic written communications to auditors and DOECAP points of contact on special issues (e.g., cybersecurity breach, sample thermal preservation, laboratory engagement for finding/requirement understanding, etc.)
- Briefings on Audit results -- DOE and DOE contractor managers/staff
- Annual workshop -- feedback sessions/continuous improvements
- Annual ASP report
- Presentations/Sharing lessons learned -- DOECAP participation in other organization's workshops/summits (e.g., the U.S. Department of Defense and The NELAC Institute)



DOECAP Phased Audit Process



Purpose:

1. Voluntary participation
2. Consistently outstanding performance by the facility, as determined by DOECAP audits
3. Embedding DOECAP audit checklist lines of inquiry into the facility's daily operational activities/programs



A facility's performance on DOECAP audits determines its progress through the phases. The ASP Manager makes the final determination on when a facility moves from one phase to the next.



Results of Successful Participation



- Facilities that reach Phase III and maintain good performance, DOECAP will alternate desktop audits one year with a full, on-site audit the next
- Extending audit reach to other facilities that are not currently audited
- DOECAP participants (DOE sites, contractors, and Program Offices) will see savings from reduced auditor travel costs



What is “good performance”?



DOECAP considers good performance to include a robust self-assessment program and a mature issues management program, which are demonstrated when:

- Facility incorporates the DOECAP audit checklist lines of inquiry into its operational activities and its assessment, audit, and surveillance programs
- Facility implements *meaningful* corrective actions that address the root cause(s) and extent of condition associated with findings





Phased Audits: Phase I – Year 1



- Laboratory thoroughly and completely fills out the DOECAP audit checklists and submits them for review prior to the on-site audit
- Laboratory assesses itself against the lines of inquiry in the audit checklists, self-identifies findings, and develops *meaningful* corrective actions (i.e., the corrective actions address the root cause and extent of condition for each finding)
- DOECAP conducts a full, on-site audit
- DOECAP develops and issues the audit report
- DOECAP tracks the audit findings to closure





Phased Audits: Phase II – Year 2



- Laboratory thoroughly and completely fills out the DOECAP audit checklists and submits them for review prior to the on-site audit
- Laboratory assesses itself against the lines of inquiry in the audit checklists, self-identifies findings, and develops *meaningful* corrective actions (i.e., the corrective actions address the root cause and extent of condition for each finding)
- **DOECAP conducts a limited scope, on-site audit**
- DOECAP develops and issues the audit report
- DOECAP tracks the audit findings to closure



Phased Audits: Year 3 and Year 4



Year 3 – Phase III:

- Laboratory thoroughly and completely fills out the DOECAP audit checklists and submits them for review prior to the on-site audit
- Laboratory assesses itself against the lines of inquiry in the audit checklists, self-identifies findings, and develops *meaningful* corrective actions (i.e., the corrective actions address the root cause and extent of condition for each finding)
- **DOECAP conducts a desktop audit**
- DOECAP develops and issues the audit report
- DOECAP tracks the audit findings to closure

Year 4: Full, on-site audit



FY 2016 Status of Phased Audits



Laboratories:

- 2016 is the first year of the phased audit process for laboratories
- 5 laboratories have volunteered for Phase I audits

TSDFs:

- 4 TSDFs will receive Phase I audits
- 1 TSDF will receive a Phase II limited-scope audit
- 1 TSDF will receive a Phase III desktop audit





DOECAP External Website



DOECAP External Website

http://www.p2s.com/?page_id=1526

What kinds of documents are posted on the website?

- QSM and QSM Errata Document
- Blank audit checklists – lines of inquiry
- DOECAP policies and procedures
- ASP flyers (DOECAP, MAPEP, and Visual Sample Plan)



- Flyer for the 2016 ASP Workshop
- Presentations and videos from ASP Workshops
- Fiscal Year 2015 ASP Report



DOECAP Points of Contact



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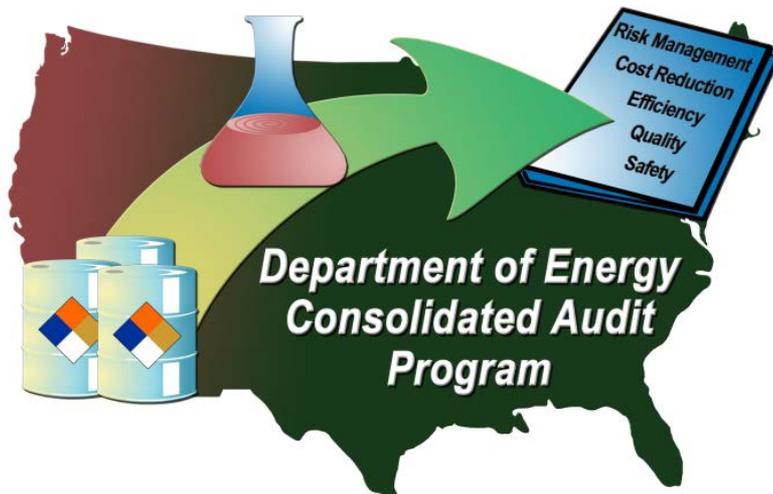
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See what I got for Christmas?!!



DOE-OIG is conducting a follow-up review to see what we've done in response to the 1995 audit report.



DEPARTMENT OF ENERGY
OFFICE OF INSPECTOR GENERAL

MEMORANDUM

DATE: December 22, 2015

REPLY TO:

ATTN OF: IG-37 (A16GT016)

SUBJECT: Audit of the Department of Energy's Analytical Services Program

TO: Associate Under Secretary, Office of Environment, Health, Safety and Security, AU-1
Acting Assistant Secretary, Office of Nuclear Energy, NE-1
Acting Director, Office of Science, SC-1



Questions?

