

**U.S. Department of Energy
Office of Project Assistance and Assurance (EM-11)
Standard Operating Procedures (SOP)**

Title: EM-11 Quality Assurance Procedure for External Products

EM ORG: EM-11	SOP #: 015	Revision #: 0	Effective Date: 07/28/10
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- 1) **OBJECTIVE:** The purpose of this Quality Assurance (QA) procedure is to ensure timeliness and quality for all EM-11 external products including formal and informal action items, telephone requests, and recurring reports.
- 2) **APPLICABILITY:** This procedure applies to all of EM-11 including both Federal and Contractor personnel. The requirements stated herein can be tailored to match the “Urgency” of the product but must be concurred on by the EM-11 Director or the Acting Director.
- 3) **CONTACT:** Lowell Ely, Office of Project Assistance and Assurance, EM-11, 301-903-6821, Lowell.Ely@em.doe.gov
- 4) **QA FUNCTIONS:** Quality Assurance functions include both peer and management reviews including administrative and technical. Peer reviews are reviews performed by persons with equal status and management reviews are normally performed by the member’s Integrated Project Team (IPT) Group Leader. One of the QA key focus areas for both reviews shall be on content. For all Project Time and Cost (PT&C) products, the QA review function needs to be recorded, and records provided to the Corps of Engineers.
- 5) **QA ITEMS:** All "FINAL DRAFT" reports and documents including e-mails and hard copies that represent EM-11 products that are being submitted to persons/organizations outside of EM-11 are required to be peer and/or management reviewed prior to transmitting. However, drafts do not require formal QA reviews.
- 6) **QA TIMELINESS:** A priority rating (Front Office, Critical or Routine) and a completion date or an extension date shall be given by the EM-11 Director or his Acting Director to every EM-11 Front Office action item including requests by telephone, e-mail, or verbally. Front Office and Critical actions have the highest priority, and the completion date(s) will be realistic. Critical and Routine action item completion dates shall be provided by the assignee. All action items including e-mail responses are to be listed in the EM-11 Action Tracking System (ATS). However, all action items FINAL DRAFTs must be reviewed by peers and/or management prior to transmittal. This does not preclude drafts being submitted for comments prior to the FINAL DRAFT submittal. Reference EM-11 SOP #001, copy attached.
- 7) **QA TRACKING:** EM-11 Action Tracking Coordinator shall be the point-of-contact for tracking/posting information. The EM-11 IPT Lead, Backup, or Assignee will submit the initial action to the Action Tracking Coordinator for posting. Subsequent postings will be preformed by the Assignee or their Backup. All "Front Office" and "Critical" actions will be monitored by the EM-11 PT&C Senior Manager. The two sources that EM-11 uses to track actions are: 1) Action Tracking System (ATS) and 2) ESTARS. For details on the action tracking process refer to EM-11’s SOP 001 “Action Tracking in EM-11’s Portal Community.”

- a) **ACTION TRACKING SYSTEM (ATS)** - The ATS will include any actions you are assigned to complete and may or may not involve ESTARS. The EM-11 Director uses the ATS as a tool to track EM-11 actions and their status, balance office work load, and input in Federal performance evaluations.
- i) The EM-11 IPT Group Leader (identified as the Assignee) oversees the group's actions and delegating a person responsible.
 - ii) The person responsible, i.e. the "Backup," is responsible for posting status comments to keep the EM-11 Director informed.
- b) **ESTARS** - ESTARS is primarily for all correspondence requiring signatures. All ESTARS tasks will be posted in the Action Tracking System (ATS) where the status should be maintained by the Assignee and/or Backup. The best process is to post the "action" in the ATS, work the document and then load the document into ESTARS when it is ready for the EM-11 Director to review. References to the ATS and ESTARS numbers should be included in all e-mail subject lines.
- i) If an Assignee/Backup is to create or review a document, do so and send the draft document (if appropriate) out via e-mail to appropriate individuals for their review and comments which the assignee compiles into a FINAL DRAFT. Once the document is in its FINAL DRAFT, submit the document to the appropriate EM-11 IPT Team Leader or his representative/Backup to submit to EM-11 Administrative Support Staff for entry into ESTARS. The Assignee and Backup will concur on that version, and the routing will go forward to the EM-11 Director, etc. This method is preferable.
 - ii) Create or review a document by submitting the draft document to EM-11 Administrative Support Staff for loading into ESTARS. The routing will be with the Assignee/Backup "for development and review". The Assignee/Backup can then send out the draft via e-mail to the appropriate individuals for their review and comments which the Assignee/Backup compiles into a FINAL DRAFT. Once the FINAL DRAFT is ready for the EM-11 Director to review, submit it to EM-11 Administrative Support Staff to upload the revision. At this point it will be ready for concurrence in ESTARS and the routing will go forward to EM-11 Director, etc.

All ESTARS tasks will be posted in the Action Tracking System (ATS) where the status should be maintained for the EM-11 Director by the IPT Team Lead and/or Backup. References to the ATS and ESTARS numbers should be included in all e-mail subject lines.

Approved By: Lowell Ely

Signature: _____

Name and Title: Lowell Ely, Director of Project Assistance and Assurance, EM-11

Date: _____