



Department of Energy  
Washington, DC 20585

March 27, 2013

**JM CHRONOLOGY**  
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DRB DISCUSSION 4/18/13

MEMORANDUM FOR: INGRID KOLB  
DIRECTOR  
OFFICE OF MANAGEMENT

THROUGH: KEVIN T. HAGERTY  
DIRECTOR  
OFFICE OF INFORMATION RESOURCES

FROM: GLENN S. PODONSKY  
CHIEF HEALTH, SAFETY AND SECURITY OFFICER  
OFFICE OF HEALTH, SAFETY AND SECURITY

SUBJECT: Notice of Intent to Revise Department of Energy Guide 414.1-1B, *Management and Independent Assessments Guide for Use With 10 CFR, Part 830, Subpart A, and DOE Order 414.1C, Quality Assurance; DOE Manual 450.4-1, Integrated Safety Management System Manual; and DOE Order 226.1A, Implementation of Department of Energy Oversight Policy*

**PURPOSE:** This memorandum provides justification for revising Department of Energy (DOE) Guide (G) 414.1-1B, *Management and Independent Assessments Guide for Use With 10 CFR, Part 830, Subpart A, and DOE O 414.1C, Quality Assurance; DOE M 450.4-1, Integrated Safety Management System Manual; and DOE O 226.1A, Implementation of Department of Energy Oversight Policy*. This Guide is used to assist with the implementation of requirements in DOE Order (O) 414.1D, *Quality Assurance*. This Guide was revised in September 2007 and re-certified in November 2010. One expected outcome of this revision is to provide a Guide that is complementary to, and eliminates duplication of, guidance contained within the recently issued DOE G 226.1-2, *Federal Line Management Oversight of Department of Energy Nuclear Facilities*. DOE G 414.1-1B will also be updated to be consistent with the revised DOE O 414.1D and to reflect other changes.

**JUSTIFICATION:** DOE G 414.1-1B is applicable to all DOE Federal and contractor organizations, including the National Nuclear Security Administration (NNSA), for performance of assessments to meet DOE O 414.1D requirements. This Guide was initially issued in 1998 to support effective and efficient implementation of Quality Assurance assessment requirements in 10 CFR 830 Subpart A, *Quality Assurance*, and the DOE Quality Assurance Order.

Quality Assurance Programs, as well as other DOE directives, contain requirements for line management to evaluate work and perform assessments. This Guide provides an approach to conduct effective assessments to meet those requirements. Assessments add value to products and services by providing feedback and linking the management and conduct of work



C. Tirado rec'd 3/27/13

to meaningful improvement actions. The information contained in DOE G 414.1-1B helps to ensure assessments focus on the execution of the operational mission and to reduce redundancy. Assuring quality throughout the DOE complex is needed for reasons of safety, security, mission, and cost savings.

There are no valid external, consensus, or other standards available which can be used in place of this directive. In addition, revision to this Guide will eliminate duplication of the oversight guidance for nuclear facilities found in DOE G 226.1-2.

**IMPACT:** The proposed Directive does not duplicate existing laws, regulations or national standards and it does not create undue burden on the Department. No conflicts with other Directives have been identified. Impacts to departmental functions or operations are not anticipated since this is a guide and contains no requirements.

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Ingrid Kolb, Director, Office of Management (MA-1):

Concur:  Nonconcur: \_\_\_\_\_ Date: 4-18-13

Unless determined otherwise by the Directives Review Board (DRB), writers will have up to 60-days in which to develop their first draft and submit to the Office of Information Resources, MA-90.

<u>Standard Schedule for Directives Development</u>	<u>Days</u>
Draft Development	Up to 60 days
Review and Comment (RevCom)	30
Comment Resolution	30
Final Review	30
Total	150