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# Unraveling the Assessment Gordian Knot

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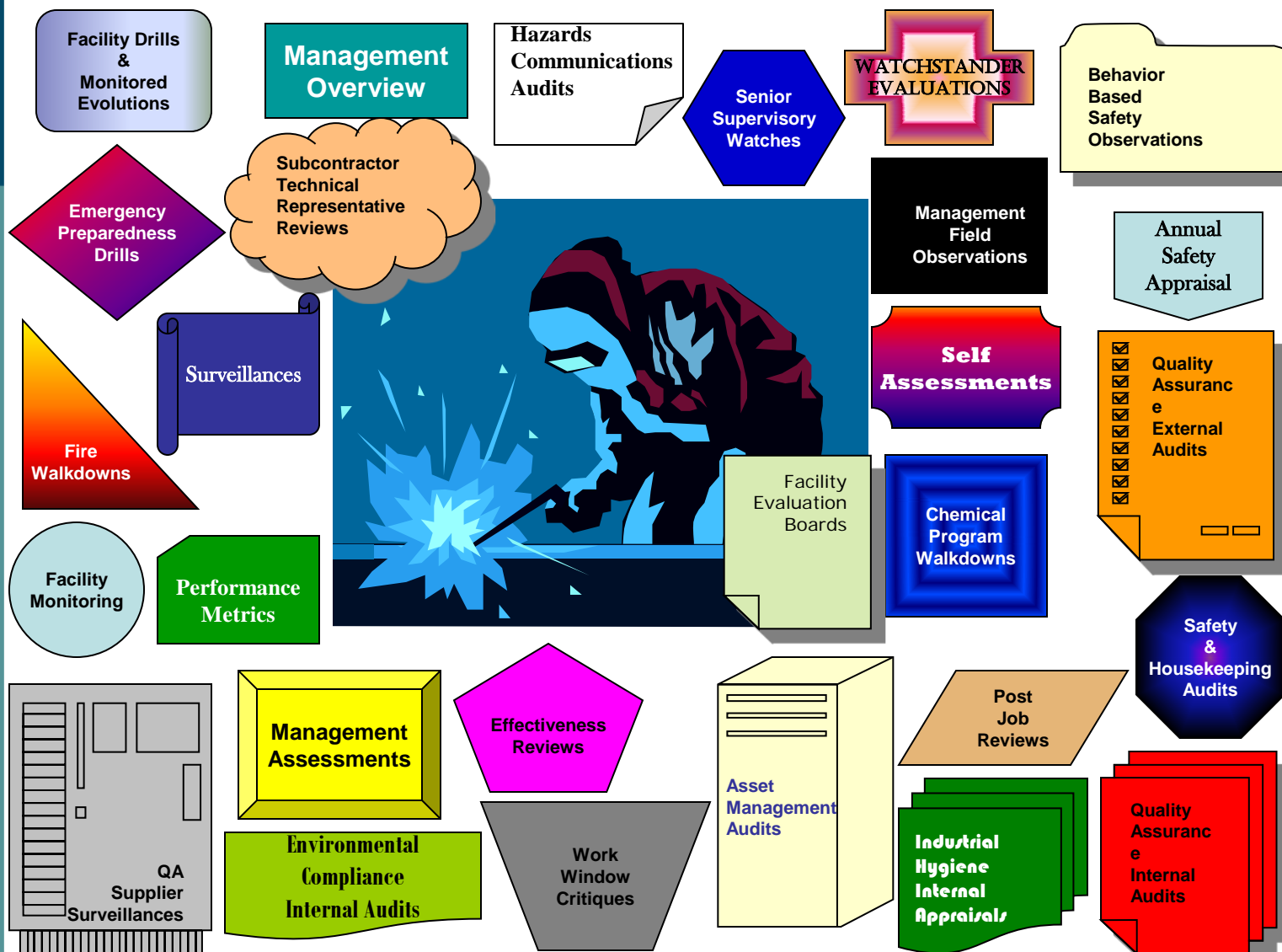
# Bio

- 35 years Navy, commercial nuclear, and DOE site experience spanning a wide variety of management, operations, maintenance, systems engineering, testing, and ESH activities
- On team that pioneered the Facility Evaluation Board concept at SRS
- Qualified NQA-1 auditor
- Currently responsible for the management of Independent Assessments for SRR

# Historically, How Assessing was Performed

- Started with large Quality Assurance presence
- Shifted to Self-Assessments
  - Replaced quality inspectors with assessors
  - Added independent assessments
- Over time, added other evaluation activities

# How We Assess Ourselves





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# Assessment and Feedback Programs

- Process defined in site procedures
  - 22 Functional Areas
  - 5 separate facilities
- Separate manual of Performance Objectives and Criteria
- Quarterly evaluation of performance
- Annual rollup of ISM performance

# What's Wrong with this Picture?

- Multiple evaluations on approximately the same thing
- Multiple systems for documentation
- Difficult to monitor progress
- Planning / coordination obstacles
- Resource availability problems
- Inconsistency in standards / expectations
- Tendency to stovepipe
- Marginalization of overall effort
- Little evidence of feedback used in other assessments
- Little apparent use of results in future planning

# The Assessment “Gordian Knot”



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# Cutting the Knot

- Establish an Assessment Baseline
- Determine R2A2s
- Eliminate Redundancies
- Establish a Simple Control / Feedback System
- Obtain Management Support
- Periodically Pulse Progress





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# Establish an Assessment Baseline

- SRR Baseline is the Integrated Assessment Matrix
- Review source documents
  - Contract (for SRR, Source Requirements Identification Document or S/RID place to start)
  - Procedures
  - Tech Specs
  - DOE Letters and Commitments
- Organize for efficiency
- Evaluate past performance
- Eliminate low value-added assessments

## Assessment Integrated Assessment Matrix

Sort by SCD-4 Functional Area

SCD-4 Area	PO&C	Topic	QA 63 LOI	Assessment Type	Requirement	S/RID Citation	Driver Source(s)	Frequency	Comments
11		Rad Con knowledge and performance		Management Assessment	Managers shall hold workers and their supervisors accountable for radiological control performance. Relevant knowledge and performance should be assessed as a specific part of each person's performance evaluation. This assessment should not be limited to those who perform radioactive work, since many other workers have an impact on the radiological control program.		WSRC 1B, MRP 4.4	Periodic	Performed by line management
11		Radiation Protection		Management	Internal audits of the radiation protection program, including examination of program content and implementation, shall be conducted through a process that ensures that all functional elements are reviewed no less frequently than every 36 months.	11.01.01.327	12Q / FEB-1 ... Scope 5Q / Ch. 1, Part 3 ... 134, 1 Q11 / 3.0 ... 5.3.3.1	Triennial	
11		Radioactive Source Accountability and Control		Program Audit	10 CFR 835.102: Internal audits of the radiation protection program, including examination of program content and implementation, shall be conducted through a process that ensures that all functional elements are reviewed no less frequently than every 36 months.		5Q1.1 Procedure 502 10 CFR 835.102	Triennial	Indirectly required as a component of the audits conducted per 10 CFR 835.102. Requirements in 10CFR835.1201 & 1202 cover sources but do not specify independent oversight.
11		Radiological Control		Independent	Internal audits of the radiation protection program shall be conducted such that over a 36-month period, all functional elements are assessed [835.102]. The audits shall address program content and implementation. These audits are performed by the WSRC Facility Evaluation Board. Multiple references listed for 5Q articles.		10CFR835.102, SCD-4 FA-11, 2.2, Procedure Manual 5Q, Article 134, Procedure 12	Triennial	The requirement for Independent assessment is company based, not regulatory based.

# Determine Ownership

- Who is responsible for each assessment activity?\*
- Independent Assessment Organization
- Quality Assurance
- Program Manager
- Facility Manager

\*May or may not assign to an assessor in plan



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# Eliminate Redundancies

- Worked with Determining Ownership
- Multiple requirements for assessment, perform together
- Closely related topics
- Team Assessments
- Vertical and Horizontal assessments
- Assessments in multiple facilities



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# Establish Control / Feedback Systems

- Control System = Plan, including schedule
  - SRR utilizes an Annual Plan
  - Once approved, assessments loaded into electronic system
- Feedback System = Review Plan Periodically
  - Indicators for performance of assessments, findings and opportunities for improvement identified
  - Sortable by facility, functional program area



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# Obtain Management Support

- Assessment Plan Concurrence by Managers, approved by President and Project Manager
- Management direct involvement the Basic Standard of Performance
  - Provide resources
  - Quality of assessments
  - Evaluation of results
  - Adherence to schedule



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# Periodically Pulse Progress

- Establish a method to report to management
- Modify when situation dictates
  - Results of operational occurrences
  - Changes to programs or processes