



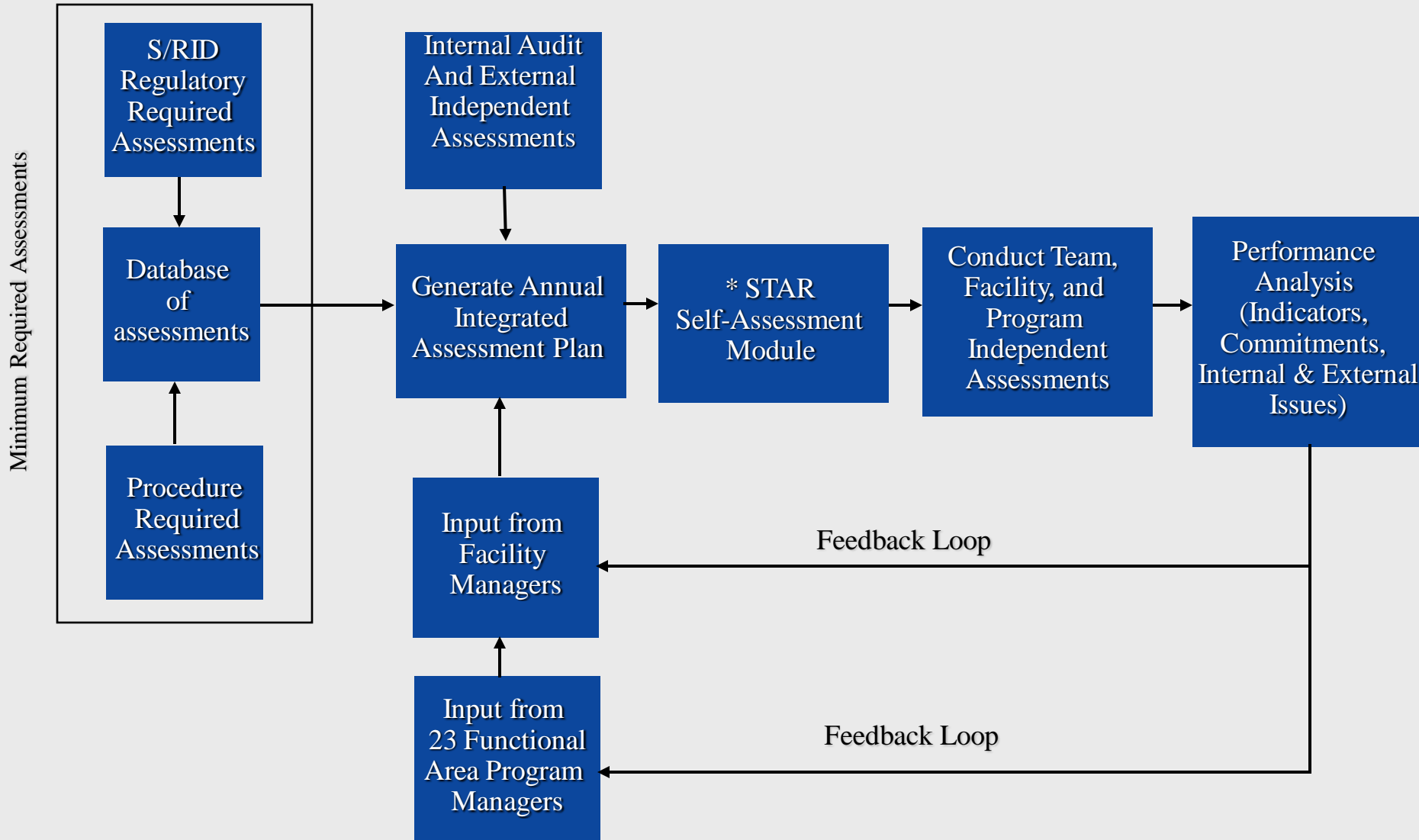
Washington Division



Consolidated Assessment Plan Approach

Marvin Dexter Ray,
Assurance Processes Manager
May 5, 2009

Integrated Assessment Process Vision



* Site Tracking Analysis and Report (STAR) System

Minimum Required Assessments

- Standards Requirements Identification Document (S/RID)
Regulatory Required Assessments
- Procedure Required Assessments
- Database of Assessments

Internal Audit and External Independent Assessment

Internal Audit

- Effectiveness and Efficiency of Operations
- Reliability of Financial Reporting and Safeguarding of Assets
- Compliance with Orders, Laws, Regulations, and Contract

Independent

- Facility Evaluation Board (FEB) Independent Assessment
- Operational Readiness Reviews and Readiness Assessment
- Quality Assurance Audits
- Corporate reviews

External

- DOE-SR, DOE HQ
- DNFSB
- INPO

STAR Self-Assessment Module

- ❑ Site Tracking, Analysis, and Reporting (STAR) system is an electronic format where the following items are captured:
 - Issues are Entered,
 - Evaluation results captured
 - Associated Actions Tracked to Closure
 - Information in support of Performance Analysis Processes
 - Selected Performance Indicators for Monitoring/Trending

- ❑ STAR System has bolt-on Modules
 - Self Assessments (SA)
 - Management Field Observations (MFOs)
 - Surveillance
 - eNCR

23 Functional Area Program Managers

A Functional Area Program Performance Analysis is conducted to evaluate the effectiveness of the Programs. The Analysis integrates data from a variety of indicators and sources such as occurrence reports, Site Tracking, Analysis, and Reporting (STAR) data, performance metrics, assessments, management observations, etc. This process allows Functional Area Program Managers to identify recurring problems, issues, or events that are relevant to the success of their Program.

Based on their review, Program Owners identify assessment needs for the coming year.

Input from Facility Managers

- ❑ Facility Managers reviews performance data for their facility
 - Management Assessment Results
 - Events and Errors
 - Findings from External & Independent Assessments
 - Employee Feedback
 - Performance trends

- ❑ Facility Managers identify assessment needs based on facility performance

Generate Annual Integrated Plan

- ❑ Contractor Assessment Managers create an Integrated Assessment Plan for the coming calendar year

- ❑ Source data comes from the following inputs:
 - Required Assessments
 - Internal Audit Groups
 - 23 Functional Areas Program Managers (PA-2)
 - Facility Managers

- ❑ The draft will be reviewed and negotiated between stake holders to develop a cancerous plan

Conduct Team Assessments

- Management lead
- Four to six team members
- Subject Matter Expert (SME)
- Exempt and Non-Exempt employees
- Targeted Areas for Improvement
- Performed in multiple facilities

Quality

Over

Quantity