



Performance Oversight Assessment Program

**Presented to: EFCOG Feedback &
Improvement Subcommittee**

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One Culture. One Team.

Assessment Program Overview

Performance Assurance
Organization



Assessment Program

Independent Assessment

Parent Company Oversight
Broad Scope ISMS - Project
Targeted Audits
Surveillances

Management Assessment

Management Assessment
• Targets Program Activities
Work Site Assessment
• Targets Work Site Activities
Management Observations

Readiness Assessment

DOE Order 425.1C Startup and
Restart of Nuclear Facilities

Integrated Assessment Planning
Integrated Scheduled Approved by Executive Safety Review Board

Program Procedures

- **CHPRC Assessment Program Plan**
 - **Provides overview of the Assessment Program**
 - **Assessment types (Independent, Management, Surveillances, Work Site, Management Observation Program [MOP], and Worker)**
 - **Roles and Responsibilities – including Safety Management Program Owners**
 - **Annual integrated assessment schedule**
 - **Assessment Matrix – guide for functional program owners/managers to develop assessment schedules**
- **Integrated Assessment Planning**
 - **Development, revision, and approval of annual Integrated Assessment Plan (schedule)**
 - **Integrated Evaluation Plan (IEP) - Scheduling and tracking tool**
 - **Executive Safety Review Board approval**

Program Procedures (continued)

- **Independent Assessment**
 - **Parent Company Oversight**
 - Targeted assessments based on company risk
 - **Board-Based ISMS Assessments - Project Level**
 - Cross cutting focus on effectiveness work performance and execution
 - **Audits**
 - Focused audits of activities where “Audit” is the preferred oversight tool
 - Office of Civilian Radioactive Waste Management and Transuranic Waste Programs

Program Procedures (continued)

- **Surveillances**
 - Used for focused reviews of activities and oversight of subcontractors
 - Short duration, limited scope, used to evaluate procedure adequacy, compliance and effectiveness of processes/systems
- **Management Assessment**
 - Focus on effectiveness and efficiency of management systems at the program level
 - Organizational changes made to procedure
 - Recommend MOP and Work Site Assessments (WSAs) for evaluation of procedure adequacy, compliance and effectiveness of processes/systems

Program Procedures (continued)

- **Work Site Assessment (WSA)**
 - **Evaluate system or process level policies, requirements, and standards**
 - **Supports Management Assessment Process - more rigorous than MOP, more administrative flexibility compared to Management Assessment Process**
 - **Implements a graded approach to the Management Assessment Process**
 - **Performed/led by trained personnel - Management Assessment Tutorial**
 - **Develop simple Lines of Inquiry**
 - **Report using site form or report template**
 - **Distribute to affected organizations**

Program Procedures (continued)

- **Management Observation Program (MOP)**
 - **Evaluate operations, requirements implementation, and compliance with work documents, policies, and procedures**
 - **Supports Management Assessment Process – simplest assessment process**
 - **Performed by technically knowledgeable personnel**
 - **Document results on Management Oversight Worksheet and Condition Reports. Additional tools include procedures or unique/standard checklists (e.g., RadCon MOP, Procedure Use, and Pre-Job Briefing)**
 - **Management reviews MOP results quarterly to identify follow-up activities (e.g., management assessment, surveillance, or corrective actions)**

Summary

- **Assessment Program description documents developed to define overview of program and provide instructions for the integrated planning of assessment activities**
- **MOP and WSA process developed to provide managers more flexibility for assessing work - Graded approach to the Management Assessment Process – Less administration, small scope**
- **Management assessments focused more on management systems at program level**
- **Integrated planning to minimize overlap and provide focus on risk important activities**
- **Managed from single organization**