

**INPO Principles  
for  
Effective Self-Assessment**



---

**Lessons Learned Relative  
to  
Independent Assessment**

**Stephen A. Johnson  
Manager, Operations Evaluation Department  
Westinghouse Savannah River Company**

# **Basis for Independent Assessment**

## **Ref: 10 CFR 830.121, Criterion 10**

### Assessment/Independent Assessment:

1. Plan and conduct independent assessments to measure adequacy of work performance, and to promote improvement.
2. Establish sufficient authority, and freedom from line management, for the group performing independent assessment.
3. Ensure persons who perform independent assessments are technically qualified and knowledgeable in the area to be assessed.

# Keys to Successful Independent Assessment



- Senior Management Support
- Team Composition
- Process Consistency
- Established Credibility
- Customer Value

# Principles of Effective Self-Assessment Programs

1. The self-assessment program is formally defined. It includes guidance for both ongoing and periodic focused self-assessments.
2. People with the necessary expertise conduct self-assessment activities.
3. The self-assessment process measures station performance against management expectations, high industry standards, operating experience, and regulatory requirements.
4. Each station organization routinely conducts its own self-assessments of programs, processes, and performance.
5. Independent oversight groups periodically evaluate programs, processes, and performance.
6. Teams or individuals conducting self-assessments communicate closely with those being assessed to help ensure understanding of and ownership for the results.
7. Station management verifies that the issues are promptly entered into the corrective action program or other tracking system for resolution.
8. Self-assessment results are communicated to affected groups and individuals.
9. Program effectiveness is periodically reviewed, using a combination of ongoing and periodic focused reviews, and is adjusted as necessary.

# INPO Assist Visits



- **September 30, 1996**
- **April 14, 2000**

# Recommendations



1. The self-assessment program is formally defined. It includes guidance for both ongoing and periodic focused self-assessments.
  - Purpose and Criteria
    - Clearly establish purpose of evaluation
    - Communicate purpose to all involved parties

# Recommendations



2. People with the necessary expertise conduct self-assessment activities.
  - Evaluation Team Consistency
    - Rotate personnel between teams
    - Area evaluators from other teams review the results for each area
    - Members of other teams attend all grading meetings.
  - Use of Peers and Host Peers
    - Improves the effectiveness and credibility of the team
    - Helps bring good ideas back to the facility supplying the Peers
    - Contributes to the personal development of the Peers

# Recommendations

(Cont'd)

3. The self-assessment process measures performance against management expectations, high industry standards, operating experience, and regulatory requirements.
  - Evaluating Against Management Expectations
    - Addresses a standard generally above minimum requirements
    - Provides more insight into management performance
  - Grading
    - Definitions
    - Consistency
    - Participation
    - Overall Facility Grading
  - Develop O&A issues during the two-week evaluation period

# Recommendations

(Cont'd)

5. Independent oversight groups periodically evaluate programs, processes, and performance.
  - Use a graded approach to determine the size of the teams and areas to be evaluated
  - Use small teams to provide unannounced facility evaluations, or “training evaluations” outside of the grading process

# Recommendations

(Cont'd)

6. Teams or individuals conducting self-assessments communicate closely with those being assessed to help ensure understanding of and ownership for the results.
  - Team Meetings and Observation Follow-up
    - Daily team meetings
    - Provide observation follow-up
  - Communications During Evaluations
    - Result in a better understanding of the issues
    - Improve the accuracy of reports
    - Establish more credibility
    - Create a better working relationship

# Recommendations

(Cont'd)

7. Management verifies that the issues are promptly entered into the corrective action program or other tracking system for resolution
  - Reports
    - Previous Findings
  - Responses to Findings
    - Corrective actions are reviewed before being sent to the president

# Recommendations

(Cont'd)

8. Self-assessment results are communicated to affected groups and individuals.
  - Reports
    - Types of Findings
    - Defining Responsible Organizations and Self-Identified Issues
    - Level of Detail
    - Facts Vs Speculation
    - Scope and Significance of Issues
    - Previous Findings

# Conclusion

- INPO provides an excellent foundation.
- Are there opportunities for collaborative efforts among us?