

DOE HQ / EFCOG ORPS Feedback Workshop



Effectiveness Reviews “Industry Perspective & Path Forward”

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Background

- **Occurrence Reporting System (DOE M 231.1-2) Requires:**
 - Contractor/Facility Manager to Assess Effectiveness of “Corrective Actions to Prevent Recurrence”
 - Effectiveness Determination for Events Designated as:
 - Operational Emergencies
 - Significance Category 1
 - Significance Category R
- **Industry Applies “Effectiveness Reviews” as a Way to Ensure Performance Improvement is Being Sustained**

Benchmarking

■ Various Principles/Approaches /Applications identified through Review of:

- INPO's "Principles for Effective Corrective Action Programs"
- DOE PAAA, Enforcement Guidance Supplement 01-02, which Addresses "Management and Independent Assessments"
- Commercial Nuclear Industry Corrective Action Program Owner's Group (CAPOG) 2002 Survey Results
- Procedures from Companies having Adopted Effectiveness Reviews
- DOE Corrective Action Management Program Manual
 - | Draft DOE M 414.1-1
 - | Included, by Reference, DOE O 414.1B, "Quality Assurance"
- DOE Contractor(s) having Adopted Effectiveness Reviews

Best Practices From Benchmarking

- Tracking Completion of Corrective Actions
 - Scheduling of Eff. Review ~ Six (6) Months after Completion of Corrective Actions “Designated to Prevent Recurrence”
- Developing Effectiveness Review Plan
 - Tailoring Extent of Review to the Significance/Complexity of the Problem and Designated Corrective Actions
 - Pre-Identifying Acceptance Criteria for Determining Acceptability of the Results of the Effectiveness Review
- Pre-determining Best “Method / Mix” of Approaches to Use during the Completion of the Effectiveness Review
 - Review of Performance Measures / Indicators
 - Self-Assessment / Monitoring / Evolution Observations
 - Interviews / Document Reviews
 - Joint Assessments with Affected Organizations

Effectiveness Review Outcomes / Next Steps

- Review Confirms Effectiveness of Corrective Actions
 - Document Completion of the Review
 - Close the Open Issue Action Item(s)
 - Consider Incorporating Some/All of the Acceptance Criteria in Your Continuing Assessment Programs
 - Consider Including Issue/Problem as Part of On-going Performance Analysis Process
- Review Identifies that Corrective Actions are Ineffective
 - Identify as New Event in ORPS
 - Categorize per DOE M 231.1-2
 - Most Likely “R” Report Linked to Appropriate Reporting Criteria/Grouping
 - Screen for PAAA/NTS Reportability (If Applicable)

Proposed DOE/EFCOG Path Forward

- Build on ORPS Project Re-design Approach with Objective of Implementing Consistent Effectiveness Review Process across the DOE Complex
- Develop/Incorporate Proposed Process in DOE, or, EFCOG Guidance for Use by Contractor Community. Approach could:
 - Include Leadership Team/Special Task Team, or,
 - Be a Joint DOE HQ/EFCOG (ISM/PAAA Working Groups) Initiative
- EFCOG ISM WG Host Initial Leadership/Task Team Meeting at DOE Nevada Training Facility During Week of 5/10 Concurrent with Working Group Meetings