

EFCOG Best Practice 119

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Best Practice Title: Integrated Assessment Plan (IAP)

Facility: Savannah River Site (Savannah River Remediation, LLC for Liquid Waste Operations and Waste Disposition)

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Brief Description of Best Practice: Management assessment programs meeting the intent of DOE O 226.1B, *Implementation of the Department of Energy Oversight Policy*, are continually looking for ways to improve their evaluation processes. SRR has recently implemented a standardized approach to performing self-assessments based on the functional area performance objectives and acceptance criteria. This approach utilizes a systematic approach to developing a self-assessment plan for each functional area. One of the key elements in the integrated assessment plan is the selection of topics which could be grouped and assessed by a team in multiple facilities and/or for multiple functional areas (There are twenty-five functional areas including Operations, Maintenance, Radiological Control, Quality Assurance, etc).

Why the Best Practice was used: Elimination of separate self-assessment planning activities with similar/overlapping needs simplifies the preparation of the annual self-assessment plan for all functional areas that frequently need to perform related assessment activities. The integrated planning efforts allows for evaluation of the team concept by presenting potential topics during the development phase and allowing assessors to consolidate efforts where possible. It also ensures consistency in the conduct of assessment performance by utilization of an assessment program manager guiding the process to success. Last, it provides the facilities and projects an opportunity to get involved with the assessment development process and incorporate their needs and concerns for execution.

What are the benefits of the Best Practice: A key area for improvement to the self-assessment process is the selection of management assessment topics which could be grouped to allow the same people to perform a team assessment in multiple facilities. One benefit is covering several topics in one assessment helps improve understanding of how all of the pieces of a functional area are working together to promote Integrated Safety Management System (ISMS) core functions and guiding principles. Another way of using the team assessment concept is to utilize the same team of evaluators to assess a particular topic as an extension of the Facility Evaluation Board (FEB) process that has been used successfully at SRS for more than fifteen years. Part of the success of the FEB process is the synergy developed by several people looking at the same topic, sharing their experience and perspectives, and thereby multiplying the benefits of their individual efforts. Also, by looking at multiple facilities with the same team, best practices and shared weaknesses are more easily identified. By selecting a team that provides the different perspectives of operational needs and program requirements, a more complete review can be achieved.

What problems / issues were associated with the Best Practice: There are limited resources available to perform all self-assessment activities and ensure that all Subject Matter Experts (SMEs) are available for performing an assessment within a schedule determined months ahead of time. It also requires early involvement by the functional area managers to evaluate their area self-critically and provide assessment topics during the annual performance analysis process completed a few months before

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the IAP development phase. Another issue that may get overlooked is that the functional area managers and SMEs must ensure that the facility/project line managers are actively engaged in the development process to ensure all aspects of facility needs and schedules are considered.

How the success of the Best Practice was measured: The integrated assessment plan process has become more streamlined and is more beneficial when performed using multiple resources to evaluate multiple functional areas or facilities at once. SRR was able to reduce assessments by 20% from FY2011 to FY2012 by taking a closer look at the selection of topics and utilizing the team assessment concept.

Description of process experience using the Best Practice: Individuals responsible for the development of the annual integrated assessment plan perform their evaluations of their respective functional areas and determine management directed and non-discretionary assessment requirements as they have done in the past. The assessment topics are developed in conjunction with facility/project concurrent input and review. For SRR, this includes the evaluation of the following programs and systems:

- Facility Evaluation Board (FEB) Assessments
- Regulatory Assessments/Audits
- Independent Assessment Program Assessments
- Previous Self/Management Assessments
- Performance Analysis (PA 2) Annual Reports (annual review by each functional area manager)
- Performance Analysis (PA1) Quarterly Reports (quarterly review by each functional area manager)
- Executive Safety Quality Board (ESQB) Reviews (Senior Management review of emergent issues, DOE watchlist items, functional area performance, leading indicators, etc.)

Instead of each of the twenty-five program leads developing a separate assessment plan based on their interpretation of the output from these program areas, a single submittal is created that integrates mutually needed assessments and consolidation of assessment topics and multiple facility assessments presented in one document to describe the self-assessment plan for SRR.