




# SRR INDEPENDENT AND SELF-ASSESSMENT PROGRAMS

May 2019 EFCOG Meeting, CAS Subgroup





## Self-Assessment Highlights

- Annual risk-based Integrated Assessment Plan (IAP) covers all 23 functional areas.
- The 2019 IAP includes 309 self-assessments and 196 planned Management Field Observations.
- Standard criteria available for each functional area review based on regulations and procedures.
- About 25 % of the assessments are graded to provide improvement feedback to assessors.
- All resulting findings and opportunities for improvement are tracked to closure.

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IAP is issued with letter from Company President

SRR has 23 Functional Areas such as Maintenance, Radiation Protections, Conduct of Operations, Occupational Safety & Health.

Issues are tracked in STAR, the SRS Issues Management System.

Grading session includes Board (made up of facility CAS rep, QA, RCO, and Assessment Program Manager) and assessors/managers are invited

There are also emergent self-assessments and MFOs not in the annual IAP but are performed as needed throughout the year.



## Independent Assessments


- A risk-based three-year plan is developed and followed to guide independent reviews.
- The three-year plan covers all functional areas and program elements.
- Higher risk elements are repeated.
- Emergent issues are added to the scope of the independent assessment plan based on risks.
- Independent assessments are staffed with subject matter experts from parent companies.
- Evaluations typically involve multiple functional areas to promote assessment synergy.

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Higher risk elements are those more likely to be impacted by human error, such as conduct of Operations and Maintenance and those more likely to generate external interest, such as Radiation Protections and Safety & Health.

Usually about half of the functional areas are covered by the independent evaluation team (8-15 person team). Some functional areas (e.g. Conduct of Operations) are reviewed each time.




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## Self-Assessment Related Improvements

We do the right thing.

- Trending results from monthly self-assessment feedback grading.
- Implemented training and feedback grading for management field observations.



Average Grades of Self-Assessment




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Management Field Observations can be performed using a specific set of criteria and can be performed by subject matter experts. This provides a simple approach to assess compliance when criteria are clearly defined. For example, periodic inspections of waste storage areas evaluate against well defined criteria regarding storage dates and leaking containers. An assessment plan and trained assessor are not needed to determine if such criteria are met.

Trends from SA grading sessions are shared as Lessons Learned through CAS website and occasional refresher training. For example, recent improvement areas identified for assessors not doing historical data review as part of assessment (what were the results of the last assessment and any follow up on corrective actions? Any trends that should be evaluated for the topic being assessed? ) Another issue noted for feedback, not all lines of inquiry have robust answers that justify conclusions reached by assessor (assessment should be well documented so that reader can draw same conclusions).

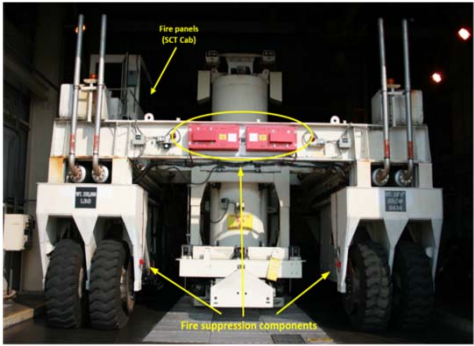


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## Independent Assessment Related Improvements

We do the right thing.

- Utilize parent company core review team for consistent and efficient independent evaluations.
- Established linkage between Company Risk Register and assessment plans.
- Schedule established to conduct independent assessments twice per year and review each facility annually.
- Added Program Health (performance + reliability) to assessment criteria.



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Parent company involvement helps ensure that there is a broad set of Subject Matter Experts representing the interests of the organizations and are able to look for trends across DOE complex since they often come with other site experience.

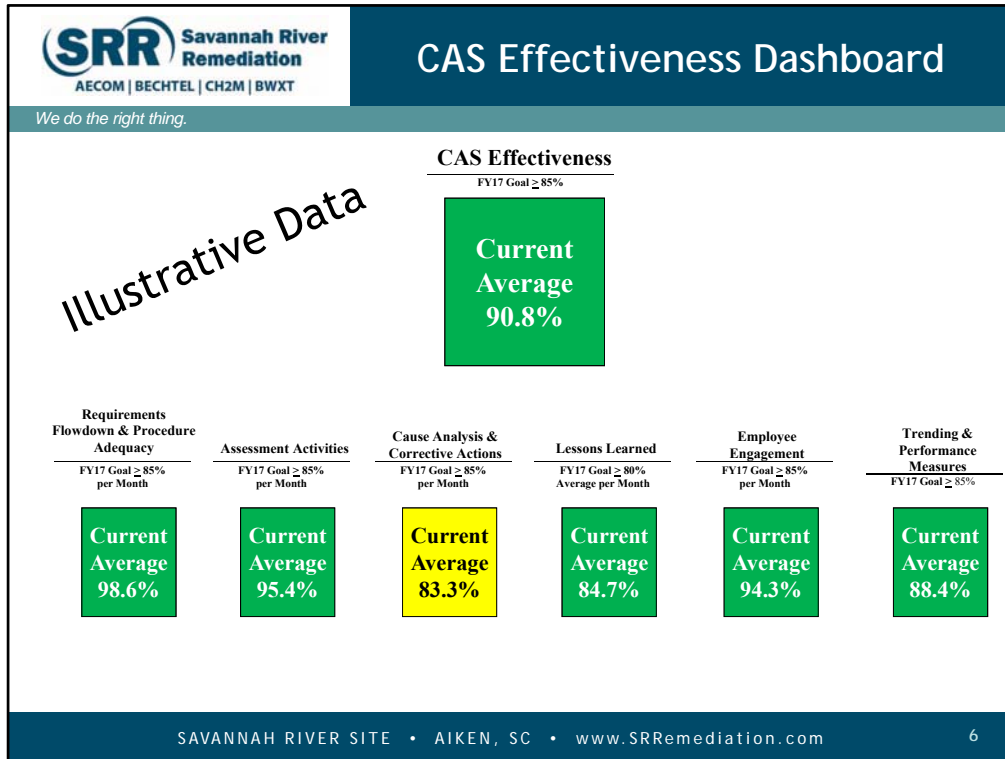
Company register identified risks may be good input for the assessment plan. Since assessments are supposed to be risk-based, the company risk register linkage to assessments is a logical step as part of various risks to be considered (besides company business risks, there are risks associated with changes to a program/procedures, infrequently performed tasks, DOE concerns, etc. )

IIE conducted twice per year, for example, we are performing a Tank Farm review May 13-24 with an 18 member team looking at 13 functional areas.

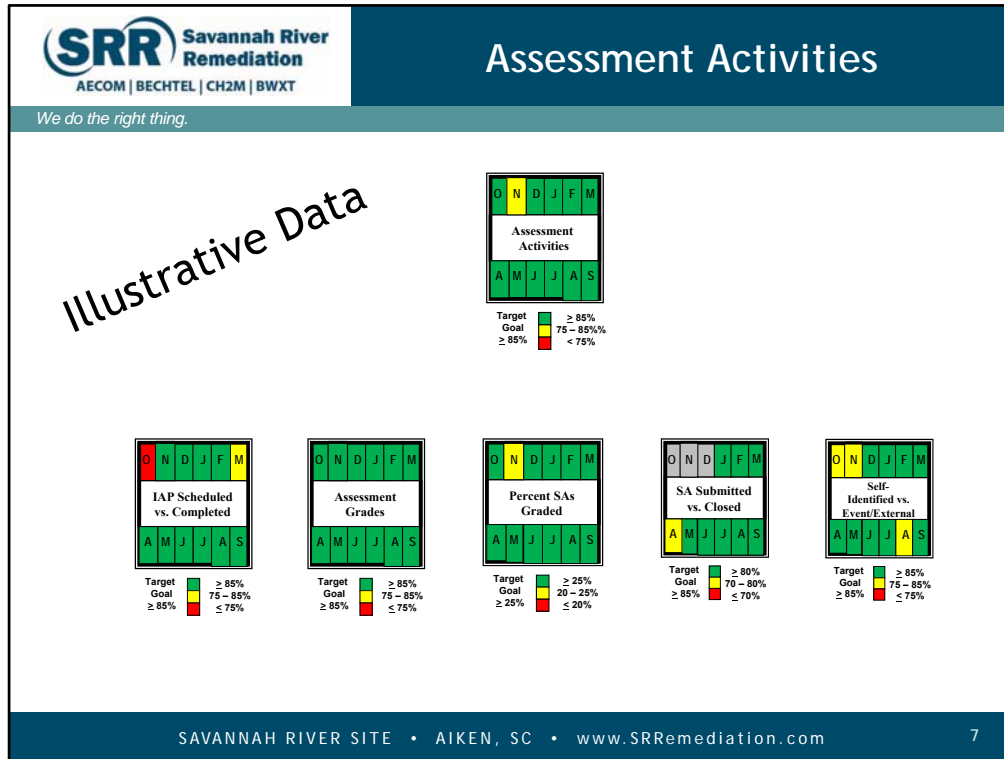
Program health considers two factors:

1. Performance (how well are objectives/requirements met)
2. Reliability (how sure that performance has a firm foundation – not just lucky)

Think about Deep Water Horizon – The off-shore oil well received a company safety award the morning of the well explosion.



CAS – Contractor Assurance System Dashboard used to keep senior management informed regarding System performance. Assessments are an important component of the CAS.



IAP (Integrated Assessment Plan)  
SA (Self-Assessment)

#### Assessment Metrics

- IAP Scheduled vs. Completed (How well is the company performing against the annual Assessment Plan?)
- Assessment Grades (Average score for the assessment graded each month - usually about 20 % of the total number of SAs finished during the month)
- Percent SAs graded
- SA submitted vs. Closed (Tracks management closure of assessment to ensure issues raised are evaluated and entered into the issues management system)
- Self-identified Vs. Event/External (Trends how well the company is doing at finding issues instead of having the issues find them (event) or having DOE identify the issue.



## SRR Contact Information

*We do the right thing.*

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