

Assessment Feedback Process

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Nevada National Security Site

Managed and Operated by National Security Technologies, LLC



Topics

- Why do we need the Feedback Process?
- History of our Feedback Process
- Feedback Process Overview
- Metrics
- Benefits
- Applicability to other processes



Why Do We Need The Assessment Feedback?

- Expectation
 - QA Requirements: Managers assess their processes and identify and correct problems that hinder the organization from achieving its objectives.
 - CAS Requirements: Rigorous, risk-informed, and credible self-assessment and feedback and improvement activities. Assessment programs must be risk-informed, formally described and documented, and appropriately cover potentially high consequence activities.
- What should the assessment report include and how much detail is needed?
 - Purpose, Scope, Executive Summary, Assessors, Assessment Criteria, Approach (interviews, document reviews, observations), and List of Issues
 - Third Party Perspective!



History of the Management Assessment Feedback

- Sometime in 2005 Management Assessment Feedback process was implemented
 - Benchmarked other DOE sites to see what mechanisms were being used to improve the quality of assessments
 - One person was assigned to review all management assessments
 - Feedback criteria fit into one of 3 categories: Met, Needs Improvement, and Not Met
 - Feedback sheets were provided to the Senior Management
- In 2006 the Feedback was scaled down to just the Line Managers and Assessors
- In 2008 the Feedback data was transposed into an MS Excel worksheet to see how well we were performing
- In 2011 we discovered technology



Change In Approach

- Core group of Independent QA Lead Assessors perform the feedback as Mentors
 - Disadvantages
 - Beauty is in the eye of the beholder and not everyone has the same eye
 - Different disciplines seem to provide more critical feedback on areas where they are more knowledge
 - Advantages
 - Keeps the Independent QA Lead Assessors informed of companywide performance
 - Better use of limited resources
- Changed to a numbering system vs. Met/Needs Improvement/Not Met
 - Line Managers and the Assessment Team Leaders wanted to know if they've got a passing grade
 - Some criteria is more important than others and the numbering systems allows a weighted value to be applied to criterion



Centralized Assessment Library

- SharePoint (or any other electronic) based library provides automatic notifications of completed assessments
- Provides a central repository for easy accessibility

The screenshot shows a web interface for the Performance Assurance Assessment Library. At the top, there is a navigation bar with the title "Performance Assurance Assessment Library" and a breadcrumb trail "Management Assessments". On the right side of the header, there are icons for "I Like It" and "Tags & Notes". Below the header is a search bar with the placeholder text "Search this site...".

The main content area is titled "Management Assessments". It contains two paragraphs of text:

Per the United States Code of Federal Regulation, Title 10, Part 830, *Quality Assurance Requirements*, and the U.S. Department of Energy Order 414.1C, *Quality Assurance*, National Security Technologies, LLC (NSTec) has established a program to "ensure managers assess their management process and identify and correct problems that hinder the organization from achieving its objectives."

This requirement is identified in the NSTec Requirements Document RD-3200.001, *Quality Assurance Requirements Document (QARD)* and institutionalized in Core Company Directive CCD-QA09.001, *Management Assessment Program*. The CCD describes the processes for the development of management assessment schedules, the planning and performing of assessment activities and reporting assessment results to the appropriate levels of management.

This CCD, which applies to all managers having purview over NSTec activities, ensures managers assess project activities and identify problems. Identified problems are subsequently entered into an appropriate corrective action tracking system per CCD-QA03.001, *Issues Management*, which establishes corrective action planning and action verification and validation procedures. Together, the CCDs ensure the establishment of a method for process assessment and the identification and correction of problems that fetter the ability to achieve project objectives.

Below the text is a section titled "MA Templates" with a list of links:

- URL
- MA Report template (linked to EDMS)
- MA Plan template (linked to EDMS)
- MA Report job aid
- MA Plan Job Aid

 At the bottom of this list is a link "Add new link".

On the right side of the page, there is a vertical list of links:

- FY14 MA Plans and Reports
- FY13 MA Plans and Reports
- FY12 MA Plans and Reports
- FY11 MA Plans and Reports
- FY10 MA Plans and Reports



The left sidebar contains a navigation menu with the following items:

- Recently Modified
- Joint Assessment Schedule
- Fire Safety Assessments
- JAS - NSO
- Functional Areas
- Home
- Assessment Library Home
- Libraries (shortcuts)
 - FY14 MA Plans and Reports
 - FY14 IA Plans and Reports
 - FY14 Surveillance Reports
 - FY14 FSA Reports
 - FY13 NFO Assessments
 - FY14 NFO Assessments
- Lists
- Surveillance Templates
- Joint Assessment Schedule Home



Feedback Database

- SharePoint based dataset is used to capture Feedback information
- Each entry is tied to the unique assessment number and other collected data (e.g. dates, assessors, and feedback reviewers) supports tracking

Assessment Number *	<input type="text"/>
	Enter the Assessment Number. This must be a unique number that reflects the format of MA-XX-YYYY-ZZZ.
Title *	<input type="text"/>
	Enter the Assessment Title
Report Approval Date *	<input type="text"/> 
	Enter the date the report was approved by the RM
Responsible Manager *	<input type="text"/>
	Enter the First & Last name of the Responsible Manager
Team Leader *	<input type="text"/>
	Enter the First & Last name of the Team Leader
Reviewer *	<input type="text"/>
	Enter the name of the person who performed the feedback review (First, Last)
Review Date *	<input type="text"/> 
	You must specify a value for this required field. Enter the date the MA review was completed



Feedback Database (cont.)

- A Mentor reviews the report against the criteria provided in the report template and documents in the feedback database.
- **IF** the score for a particular criterion is less than the maximum possible points, **THEN** provide comments in the corresponding Comments field that provides suggestions for improved performance.
- We encourage the Mentors to provide positive comments as well as negative.

Question 3 *	5 <input type="text"/>	3. Did the Purpose clearly describe the overall intent of the Management Assessment and answer the question "Why am I performing this assessment?" (5 Points)
Question 4 *	5 <input type="text"/>	4. Did the Scope briefly describe the requirements and/or expectations to be considered during the assessment? (5 Points)
Sec III Comments	<div style="border: 1px solid gray; height: 150px; width: 100%;"></div> <p>Purpose and Scope Comments:</p>	
Question 5 *	6 <input type="text"/>	5. Did the Executive Summary briefly describe the programs and processes assessed? (6 Points)
Question 6 *	6 <input type="text"/>	6. Did the Executive Summary describe the overall results, including an evaluation of the effectiveness, efficiency, and/or adequacy of the assessed areas? (6 Points)
Question 7 *	6 <input type="text"/>	7. Did the Executive Summary describe how the assessment was performed (e.g., document reviews, interviews, performance observations)? (6 Points)
Sec IV Comments	<div style="border: 1px solid gray; height: 150px; width: 100%;"></div>	



Sharing the Feedback

- A macro enabled MS Excel workbook is connected to the feedback dataset
 - The pulls the data from the dataset into a formatted report
 - The report is exported into a portable document file (pdf)
 - A canned email is generated and the pdf file is attached

Prestridge, Jason

Subject: Management Assessment Feedback
Attachments: MA-12-AXXX-XX1.pdf

As part of the overall effort to enhance the MA program, the Quality and Performance Improvement Division will continually review the majority of completed MAs against the criteria described in the MA report, checklist, and instructions template and governing directive CCD-QA09.001, Management Assessment Program. Feedback will be provided to Responsible Managers and Team Leaders regarding how well we believe their MA reports meet a set of standard expectations. The set of standard expectations used as the basis for the review were derived from a variety of industry and U.S. Department of Energy complex best practices and have been incorporated into the MA report, checklist, and instructions templates available for use at: <https://website.htm>.

Unless specifically called out in the feedback, you are not required to take any action on our comments; however, we believe that their consideration and implementation into future assessment efforts would enhance overall performance and customer satisfaction.

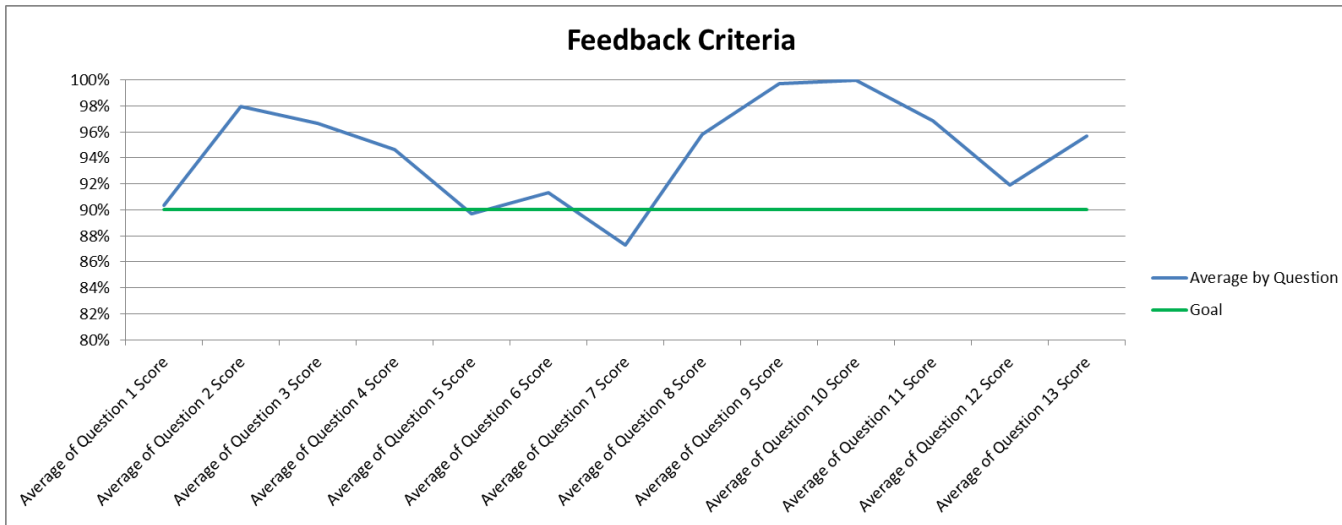
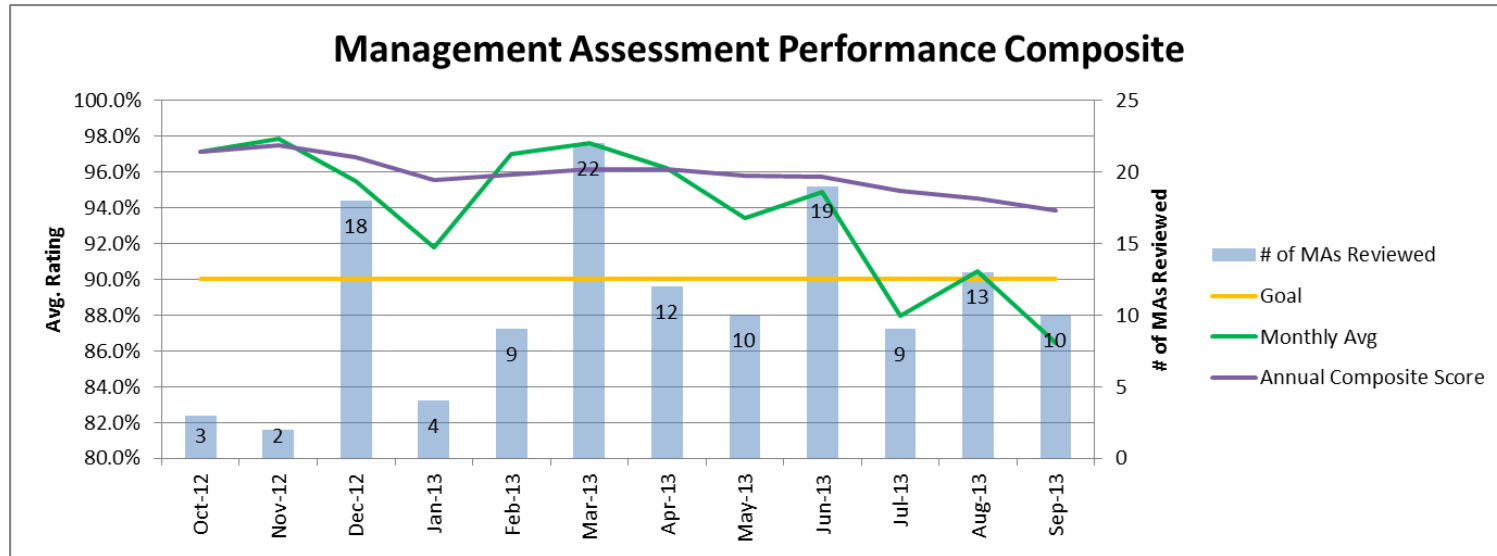
We are available to provide mentoring and training in management assessment techniques and documentation at your request. If you have any additional questions, please feel free to contact ????? at ???-???-????.

MANAGEMENT ASSESSMENT FEEDBACK TEMPLATE			
Training Programs for X-Ray and Laser Operations		Assessment Number:	MA-12-AXXX-XX1
		Report Approval Date:	3/7/2012
	Reviewer/Date:	0	03/08/12
Item / Criteria / Points	Meets Expectation	Needs Some Improvement	POINTS
Support? (3 Points)	X		3
			Subtotal: 3
Content of the Management Assessment and answer the questions (5 Points)	X		5
Standards and/or expectations to be considered during the assessment	X		5
			Subtotal: 10
Are programs and processes assessed? (6 Points)	X		6
Overall results, including an evaluation of the effectiveness of the training programs should be included in the Ex Summary. (6 Points)		X	3
Assessment was performed (e.g., document reviews, interviews, etc.)	X		6
Identification of any issues? (6 Points)		X	3
			Subtotal: 18

Comments: Q5: A clear, brief statement regarding your evaluation of the adequacy or effectiveness of the training programs should be included in the Ex Summary. Q6: Identified issues should be mentioned in the Ex Summary. The intent of the Ex Summary is that it could stand alone from the rest of the report and still contain the pertinent information that sr. mgmnt. will need.



Metrics

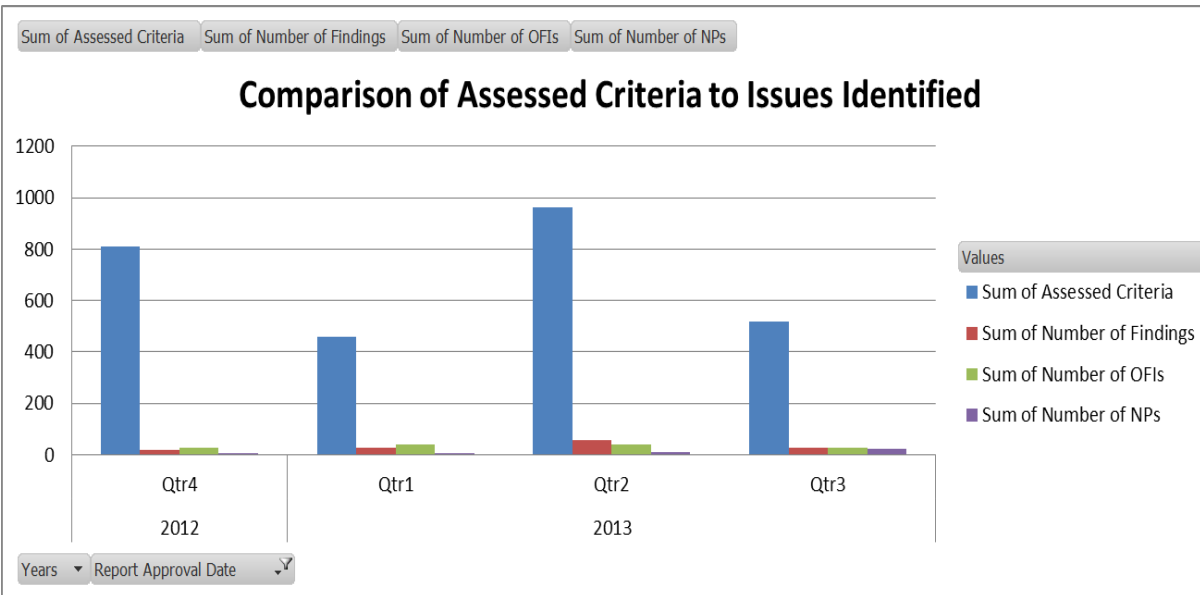


Potential for Collecting Other Data

- # of Issues (Findings and OFIs) compared to Assessment Criteria

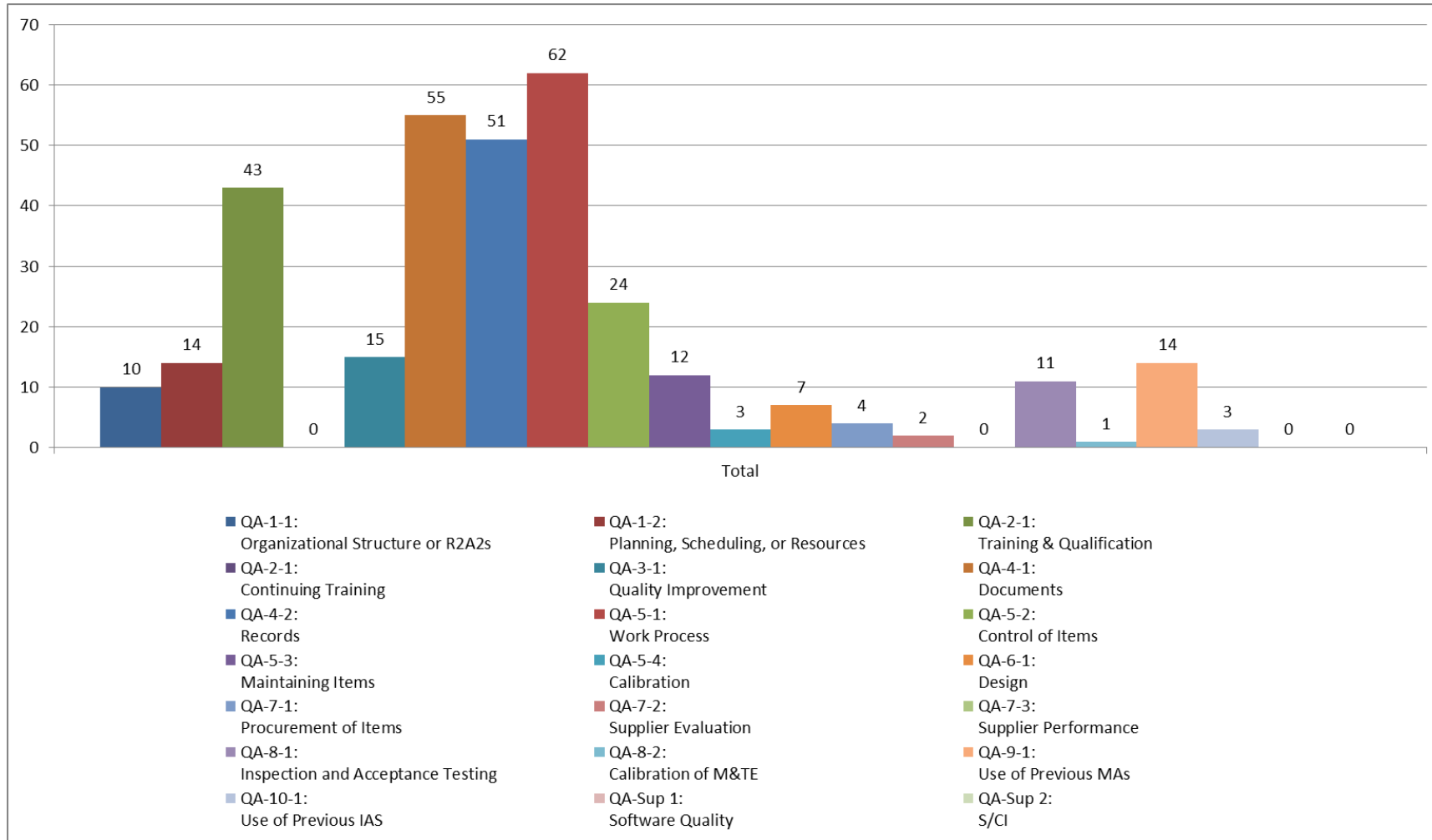
Multi-Year Comparison

FY12 - FY13	Assessment Number Difference	Finding Rate Difference	OFI Rate Difference
Oct	5	0.2%	2.1%
Nov	1	131.9%	19.4%
Dec	5	6.3%	0.7%
Jan	4	9.6%	3.3%
Feb	3	4.2%	-4.5%
Mar	16	3.5%	1.4%
Apr	-5	-3.9%	5.3%
May	2	-3.9%	0.2%
Jun	12	3.0%	5.2%
Jul	10	2.3%	0.8%
Aug	0	1.6%	-6.9%
Sep	29	-5.5%	-5.5%
Total	82	1.5%	0.6%



Potential for Collecting Other Data (cont.)

- Applicable QA Criteria



What's The Benefit

- Competition among organizations/assessors for highest quality rating
- Feedback is appreciated by the line organizations
- Improved trending capability
- Validation of assessment program's effectiveness
- Generally improved quality of the assessment reports



Application to other Processes

- Currently Applied
 - Cause Analysis, Extent of Condition, and Corrective Action Planning
- Considering
 - Lessons Learned
 - Performance Metrics
 - Trending and Analysis Reports
- Other Potential Candidates
 - Unreviewed Safety Question Screening
 - Work Package Quality Reviews
 - ????

