Westinghouse Savannah River Company

“Assessment Program”

Presentation

to the

Defense Nuclear Facilities

Safety Board

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Overview

- WSRC Assessment Program
- Line Oversight/Contractor Assurance System
- Technical Staffing
- Corrective Action Program
- Program Enhancements
- Closing Remarks
- Questions & Answers
WSRC Recognizes that a Robust Assessment Program is Key to:

- Meeting the Integrated Safety Management System’s Requirements and Expectations for “Feedback & Improvement”
- Meeting the Requirements of the Quality Assurance Rule and Order,
- Identifying and Correcting Precursor Problems Before a More Serious Incident Occurs, and,
- Ensuring Continuous Improvement Throughout the Organization

WSRC Program: Integrated Two-Tier Process

- Independent Assessments
- Management Assessments

Program has Full Management Leadership and Support
Assessment Program Basis

National Consensus Standards

10CFR830 Subpart A Quality Assurance

DOE O 414.1A Quality Assurance

Other QA Prog. Standards (QC-1, RW-0333P, etc.)

DOE P450.4 Safety Mgmt. System Policy

Requirements Basis

*WSRC Standards/Requirements Identification Document (S/RID)

Policy Basis

WSRC 1-01, MP 4.2 Quality Assurance

WSRC 1-01, MP 1.22, ISM System

Program Basis

* Quality Assurance Management Plan (QAMP)

Implementation Basis

QA & Assessment Manuals (1Q & 12Q)

Assmt. Perf. Objectives & Criteria (SCD-4)

Information Manuals (SA, Mngt. Eval., Root Cause)

Industry Best Practices (INPO, EFCOG, CCPS, Utilities, etc.)

* Documents Approved by DOE-SR
Independent Assessment Program

History

1994 - Consolidation of Multiple Independent Oversight Processes into Single Approach (Facility Evaluation Boards) & Integrated Approach for Start-up Readiness Determinations

1998 - Facility Evaluation Board (FEB) Process Designated to Verify On-going Integrated Safety Management System Implementation

2002 - FEB Process Extended to the Evaluation of Projects

FEB Process Consistently Recognized by DOE SR, DOE HQ and INPO as an Effective, Credible, Process that Drives Improvement
Independent Assessment Program

Scope

All Facilities, Projects and Programs Regularly Evaluated

• Evaluates Performance in Key Company Functional Areas
  – Engineering, Operations, Maintenance, QA, etc.
• Nominal 16 Month Evaluation Interval
• Project Evaluations Focused on Line Item and Significant Capital Equipment/General Plant Projects

Standards-Based

• Single Set of Performance Objectives & Criteria

Independent Assessment Function

• Staffs All WSRC Operational Readiness Reviews
• Provides Mentoring for Major Line Readiness Assessments & On-going Operations (Assist Evaluations)
Independent Assessment Program

**FEB Process**

- Teams Report Directly to WSRC President
- Organization is Staffed with Technically Competent, Field-Experienced, Personnel on Rotational Assignments
- Evaluations are Unannounced using Performance Based Techniques and Standards Based Performance Objectives and Criteria
- Evaluations Identify Compliance Issues, Strengths, and Improvement Opportunities
- Corrective Action Plans Submitted to WSRC President
- Verification of Corrective Action Closure Accomplished in Future Evaluations
Management Assessment Program

History

Management Assessment Programs Implemented in 1994 Concurrent with Initiation of the Facility Evaluation Board Process

Processes Re-engineered in 1998 & 2001

Two Key Processes

- Self-Assessments
- Management Evaluations

Standards-Based

- Single Set of Performance Objectives & Criteria
  - Same as Used for Independent Assessment Process

Implemented Throughout the Organization in a Tailored Manner
Management Assessment Program

Self-Assessment Process

Implemented By:

- Line Organization at the Facility/Project Level
- Functional Program Managers at the Company Level
  - Engineering, QA, Rad. Protection, Maintenance, Operations, etc.

Tailored Approach to Implementation

- Facility, Business Management, Service and Product Applications
  - Evolution-Based Horizontal/Vertical Slices, Team Evaluations, Performance Measures, Process Mapping, Activity Evaluations, etc.

Benchmarking

- Process Evaluated by INPO using Their “Principles for Effective Self-Assessment and Corrective Action Programs”
- Senior Management Team Conducted On-site Evaluation of Carolina Power & Lights H. B. Robinson Nuclear Plant’s “Self-Evaluation” Program
Management Assessment Program

Management Evaluation Process

Established to Ensure Available Sources of Information are Collectively Analyzed with a Focus on Improving Performance throughout the Company

Implemented:

- Annually by WSRC’s Functional Program Managers
- Periodically by Facility Managers (FEB Frequency)

Process:

- Integrates All Available Review-Based and Event-Based Data
- Outputs
  - Provide Targeted Areas for Self-Assessment Activities
  - Ensure Resources are Applied to Areas of Weaknesses
  - Used to Integrate and Prioritize Corrective Actions
Line Oversight/Contractor Assurance System

NNSA Objective

- Comprehensive Contractor Assurance System (CAS) to Ensure Missions and Functions are Properly Executed in an Effective, Efficient and Safe Manner

Status

- Comprehensive Review of 17 Key Attributes Completed. WSRC in Compliance with All Attributes. Considering Enhancements for:
  - Attribute 5: Third Party Assessments
  - Attribute 10: Risk and Opportunity Management Plan

Impacts

- None. Attributes Reflect WSRC’s Current Institutional Approaches to ISM, Assessments, QA, SRID’s, etc.
Technical Staffing

- Independent Organization is Fully Staffed and Operational
  - 3 Team Managers, 18 Team Members
  - 21 Individuals on 2 to 3 Year Rotational Assignments
  - 300+ Total Years of Operational and Subject Matter Experience

- Management Assessment Program is Fully Implemented
  - Line Organizations are Planning, Scheduling and Performing Assessments using Currently Assigned Resources and Company Subject Matter Experts, As Appropriate

- WSRC Does Not See Any Significant Impact from the Proposed DOE Oversight Program Changes
Corrective Action Program

- Comprehensive Integrated Process
  - Problem Identification, Investigation, Causal Analysis, Lessons Learned, Corrective Action Development, Closure Verifications and Effectiveness Reviews

- Program Actions Tailored by Significance (Cat. 1-4)

- Initial Model for New DOE Occurrence Reporting Process with Numerous Features Incorporated into the Final System

- Apparent and Root Cause Analysis Processes Mature and Implemented throughout WSRC
  - Cause Coding System Adopted for DOE-wide ORPS Application
    - Incorporates Nuclear Industry-based Human Performance Error Coding
  - WSRC Instructors Trained 125+ Personnel (75 Trainers) Throughout DOE Complex in ORPS Regional Workshops (2003)
Initiatives & Program Enhancements

- Independent Assessment Program
  - Integrated Strengths and Improvement Opportunities into WSRC’s Lessons Learned/Operating Experience Process
  - Established Presidential Focus Area to Validate On-going Implementation of Integrated Safety Management (ISM)
  - Initiated Company-wide ISM Phase I/II Reverification (In-progress)

- Management Assessment Program
  - Implementing New “Performance Analysis” Process in 1QCY04
    - Under the Leadership of WSRC’s Management Council
    - Focus on Trending/Analysis of Data to Identify Recurring Problems
    - Includes Both Event-Based and Review-Based Data Sources
  - Streamlining Self-Assessment Process to Focus on Core Requirements and Designated Performance Areas for Improvement
Closing Remarks

WSRC Assessment Program
- Established and Meets DOE QA Rule/Order Requirements
- Applied in a Graded Approach to the Full Scope of WSRC Operations
- Demonstrates On-going Compliance to WSRC Contractual Requirements, Policies and Procedures, and,
- Fosters Continuous Improvement Throughout the Organization

Corrective Action Program
- Integral Part of All Activities with Actions Systematically Managed Based on the Significance of the Issue, Problem or Event
- Model for New DOE Occurrence Reporting System

Challenge
- Demonstrating Value, and Maintaining Management Leadership, in an Accelerated Clean-up Environment with a Project versus Functional Organizational Structure