

Subject: Assessment and Oversight	Effective Date: October 8, 2003	Initiated by: Head, Quality Assurance
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From 10 CFR 830.122 (i): *Ensure managers assess their management processes and identify and correct problems that hinder the organization from achieving its objectives.*

From 10 CFR 830.122 (j): *(1) Plan and conduct independent assessments to measure item and service quality, to measure the adequacy of work performance, and to promote improvement. (2) Establish sufficient authority, and freedom from line management, for the group performing independent assessments. (3) Ensure persons who perform independent assessments are technically qualified and knowledgeable in the areas to be assessed."*

The PPPL Program for Assessment consists of assessments at three levels: worker, management, and independent. In addition, assessments of PPPL programs are performed by external sources, e.g. DOE and Federal and State regulators.

Worker assessment is implied by the fundamental principle that all are responsible for the quality of the work they perform and for determining that the work has been completed satisfactorily.

Management assessments are periodically conducted by managers at all levels to assess the performance of their organization and functions with the goal of assuring that requirements are being satisfied. The emphasis of these assessments is on management issues that affect performance processes such as: strategic planning, qualification, training, staffing, organizational interfaces, communication, cost control, and mission objectives. Strengths and weaknesses affecting the achievement of the organization’s objectives shall be identified so that meaningful action can be taken to improve processes.

Methods used to perform these management assessments include:

- Customer surveys
- Focus group meetings
- Line assessments (e.g. Balanced Scorecard Program Assessments, Integrated Safety Management Assessments, Value Based Self-Assessments)
- Line participation in assessments performed by others (e.g. Quality Assurance audits or DOE Unified Safety Reviews (USRs)).

From these assessments, formal goals and objectives can be established. The results of these assessments shall be documented. USR commitments are tracked by DOE/PAO. Commitments from other sources are tracked by line management until closure.

Independent assessments are performed by Quality Assurance¹ and may be performed via inspections or audits. The focus of independent assessments is on the items and services produced and their associated

¹ Assessment of research results is performed using the tools indicated in ANSI/ASQ Z1.13-1999, Quality Guidelines for Research, including internal reviews, independent external reviews, peer review, and personnel performance. Assessments of facility and support service adequacy are typically included in the independent assessment program, managed by Quality Assurance.

processes with the objective of improving the product/service performance and process effectiveness. These assessments are conducted on activities that most directly relate to final objectives and emphasize safety, reliability, quality, and performance. The types and frequencies of independent assessments are based on the status, complexity, and importance of the activities or processes being assessed.

Audits, in particular, address management processes that affect work performance such as planning, program support, and training. As necessary, the independent audit team is augmented by individuals having the technical knowledge and expertise for the area being assessed. In addition, the audited organization is invited to nominate an individual from within their organization to be part of the audit team, although approval of the use of the individual is the responsibility of Quality Assurance. Any compromise of independence is minimized by using an audit leader who is independent of the area being assessed and outweighed by the specific knowledge brought by the organization's representative. Quality Assurance reserves the right to waive the need to perform audits of areas already adequately assessed by non-PPPL organizations, such as DOE/PAO; the determination of such adequacy is the responsibility of Quality Assurance.

Assessments by External Sources Copies of all external assessment reports and responses shall be provided to Quality Assurance for incorporation into the QA Tracking and Trending System.