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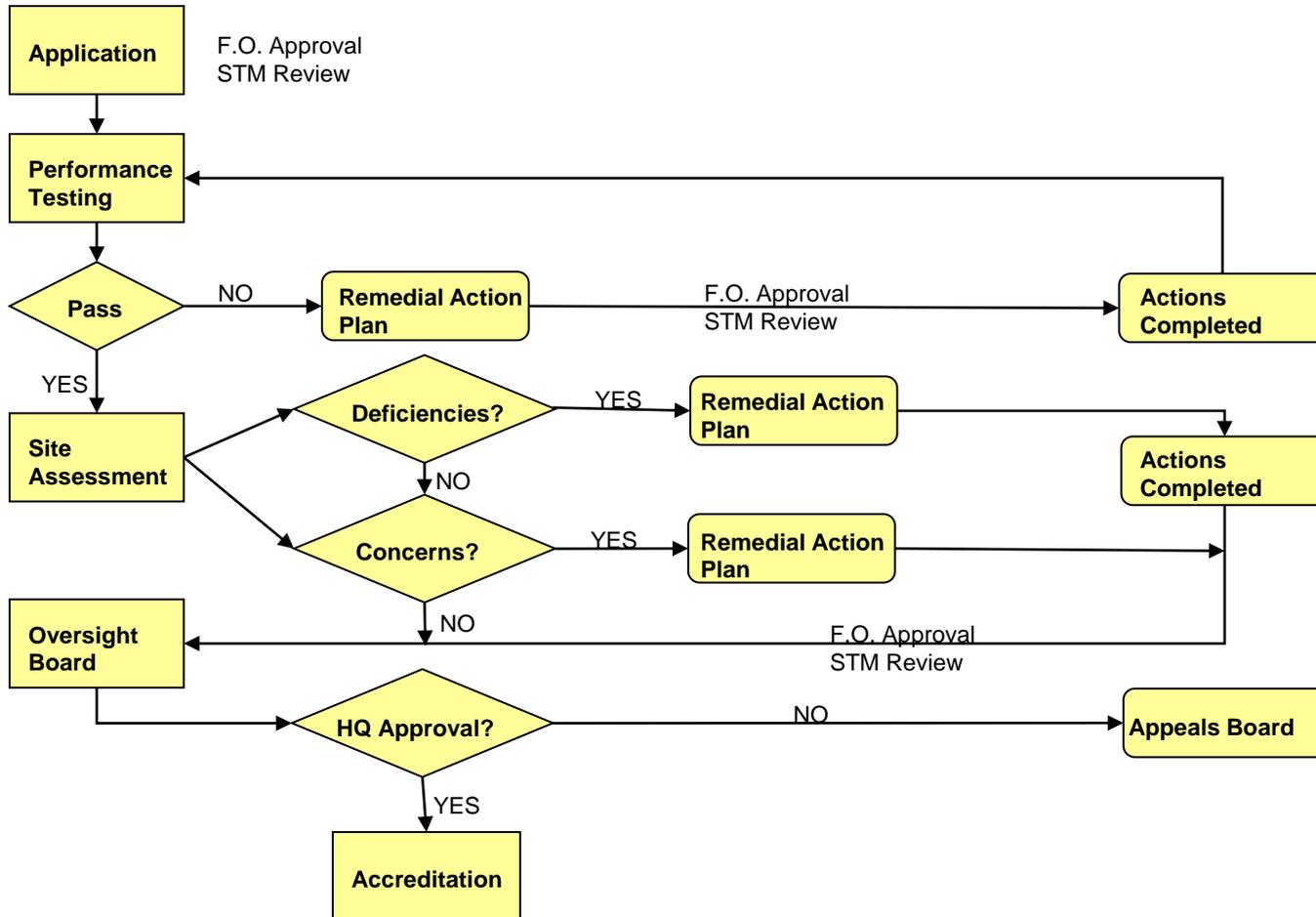
# **DOELAP Assessor Training**

## **Session 2 Process**

Salt Lake City, UT  
September 24, 2012

- DOELAP process
- Assessment Process
- Prepare for the Assessment
- Perform the Assessment
- After the Assessment

- Application
- Performance Testing
- Assessment
- Oversight Board
- Accreditation

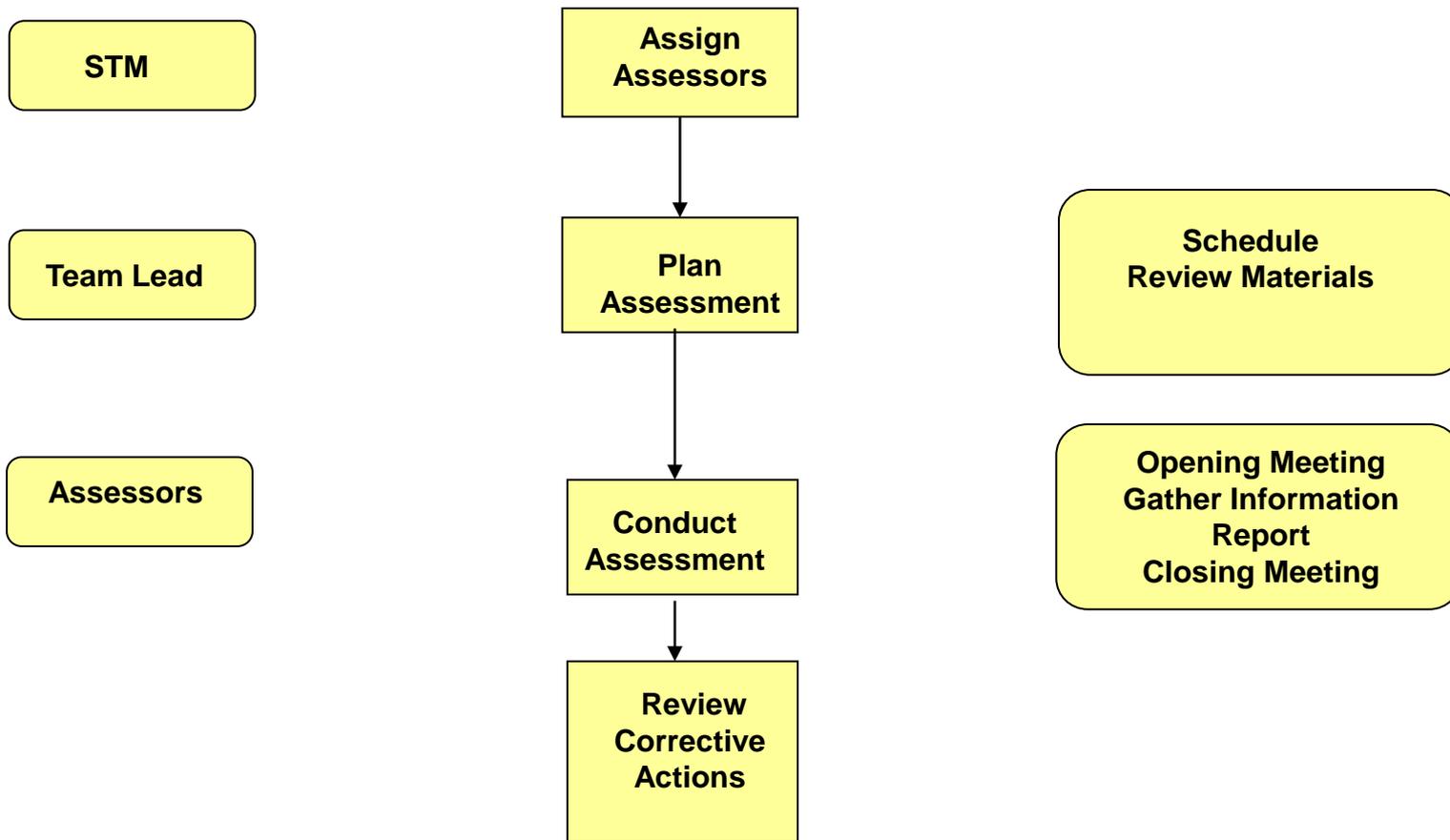


# Assessment Process

- Assign Assessors
- Plan Assessment
- Conduct Assessment
- Feedback



# Assessment Process



## Assessment Process Assign Assessors

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- STM requests or assigns via email
- Assessors chosen on
  - Expertise
  - Avoiding conflict of interest
  - Requests from assessors
- STM selects assessment teams and team lead
- Team Lead notifies site and assessment team
- STM distributes application, test results, previous assessment report and corrective action plan

# Assessment Process

## DOELAP Assessors

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- Trained and qualified
- Technical experts
- OJT under supervision of team leader

# Assessment Process Assessment Team Lead

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- Communication skills
- Assessment process training
- Assessment experience
- Knowledgeable of DOELAP process and requirements
- Technical expert
- Knowledgeable of assessment techniques

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- Speaker Guy Backstrom

## Prepare for the Assessment

- Good planning maximizes the effectiveness of the assessment
- Plan to “eliminate the element of surprise”
- Planning is critical to the success of the assessment
- Obtain assessment materials from website

## Prepare for the Assessment (continued)

- A well-prepared assessment demonstrates that the assessment team *is prepared* and that the assessment is a manner of good business
- A good mechanism for making sure that the planning process is consistently applied is to prepare an assessment preparation checklist

## Prepare for the Assessment (continued)

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### ■ Team Lead

- Coordinates schedule of assessment with site and other assessor;
- Discusses procedure for performing and reporting the assessment;
- Discusses assessment scope and individual assignments;
- Makes sure other assessor understands role.

## Prepare for the Assessment

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- Team Lead works with site to arrange
  - Lodging
  - Map
  - Security Clearances
  - Site resources (computers, printers, staging room)
  - Scheduling opening meeting

# Prepare for the Assessment

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## ■ Team Lead

- Discusses preliminary findings with other assessor after initial review of documents
- May even draft report before assessment
- Reduce element of surprise





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- Speaker Steve Bohrer

# Prepare for the Assessment The Checklist

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- Checklist is an assessment tool.
- Do not assess by going down the checklist item by item.
- Anyone can identify “things” that are noncompliant. We want to improve programs. Focus on issues. Think.
- The checklist is for reference and keeping notes.

# Prepare for the Assessment The Agenda

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## ■ Day 1

- Opening meeting
- Tour
- Fact finding process
  - Document review
  - Interviews
- Daily De-brief/Factual Accuracy Discussion
- Draft Report (just for you at this point)

# Prepare for the Assessment The Agenda (continued)

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## ■ Day 2

- Check factual accuracy of Day 1 findings
- Complete assessment
- Draft report
- De-brief site staff/Factual Accuracy
- Final report
- Closing meeting
- Sign Assessment Report

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# Perform the Assessment Day 1

## ■ Opening Meeting ( 2.2 in procedure)

- Let site determine who attends, but suggest any interested staff and field office representative.
- Document attendance
- Meeting agenda
  - Introductions
  - Scope of assessment
  - Accreditation process
  - Schedule closing meeting
  - Preliminary identification of possible findings from preliminary review.

# Perform the Assessment Day 1

## ■ Document Review

- Planning allows the site to have ready the documents you need to validate your preliminary review
- Request further documentation

## ■ Interviews

- Respect interviewee's input
- Try to get buy-in from interviewee about accuracy of finding (no need to prioritize at this point)
- (Later you will ensure that the finding is tied to a requirement)
- No Surprises

# Perform the Assessment Ease the Interviewing Stress

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- Be unbiased
- Be punctual
- Be prepared
- Be positive



## Perform the Assessment Interview Techniques

- Ask open-ended questions
- Follow-up and clarify with yes/no questions
- Listen actively
- Take notes (unobtrusively) explaining need for the time it takes to prepare accurate notes
- Verify the accuracy and relevance of findings at the time of identification

## Perform the Assessment General Considerations

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- Exhibit integrity (open honesty) with all the interviewees
- Maintain control of the interview at all times
- If you loose control of the interview/assessment – LEAVE
- DOE site office representation!

# Perform the Assessment Control of the Interview

- Watch out for hidden agendas or for mistaken impressions about what you are doing

# Perform the Assessment Factors Affecting Interactions

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- Fear of the unknown
- Hostile environment
- Natural resistance to change
- Diversion
- Volunteered information

## Perform the Assessment Putting the Organization at Ease

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- Maintain the self-esteem of individuals
- Show understanding of the person being interviewed
- Check assessment results against the “so what?” reaction.

## Perform the Assessment

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### ■ Do

- Be professional
- Be prepared
- Remain composed
- Be flexible and willing to listen to the “minority opinion”

### ■ Don't

- Lose objectivity and independence
- Use inappropriate language
- Pass judgments
- Use “I” or “my”
- Solve problems

# Perform the Assessment

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## ■ Avoid

- “How to do it right”
- Engaging in comparative discussions
- Becoming isolated

## Perform the Assessment

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### ■ Things to Remember

- Establish and maintain rapport
- Use checklists
- Report on areas of excellence as well as departures from requirements
- Avoid nit-picking
- Use objective evidence and separate opinion from fact
- Minimize intrusions into the organization being assessed

## Perform the Assessment

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### ■ Don't Forget

- Maintain adequate notes
- Get positive identification, organizational affiliation and job titles of persons interviewed
- Be precise
- Behave ethically

# Perform the Assessment Day 1 Debriefing

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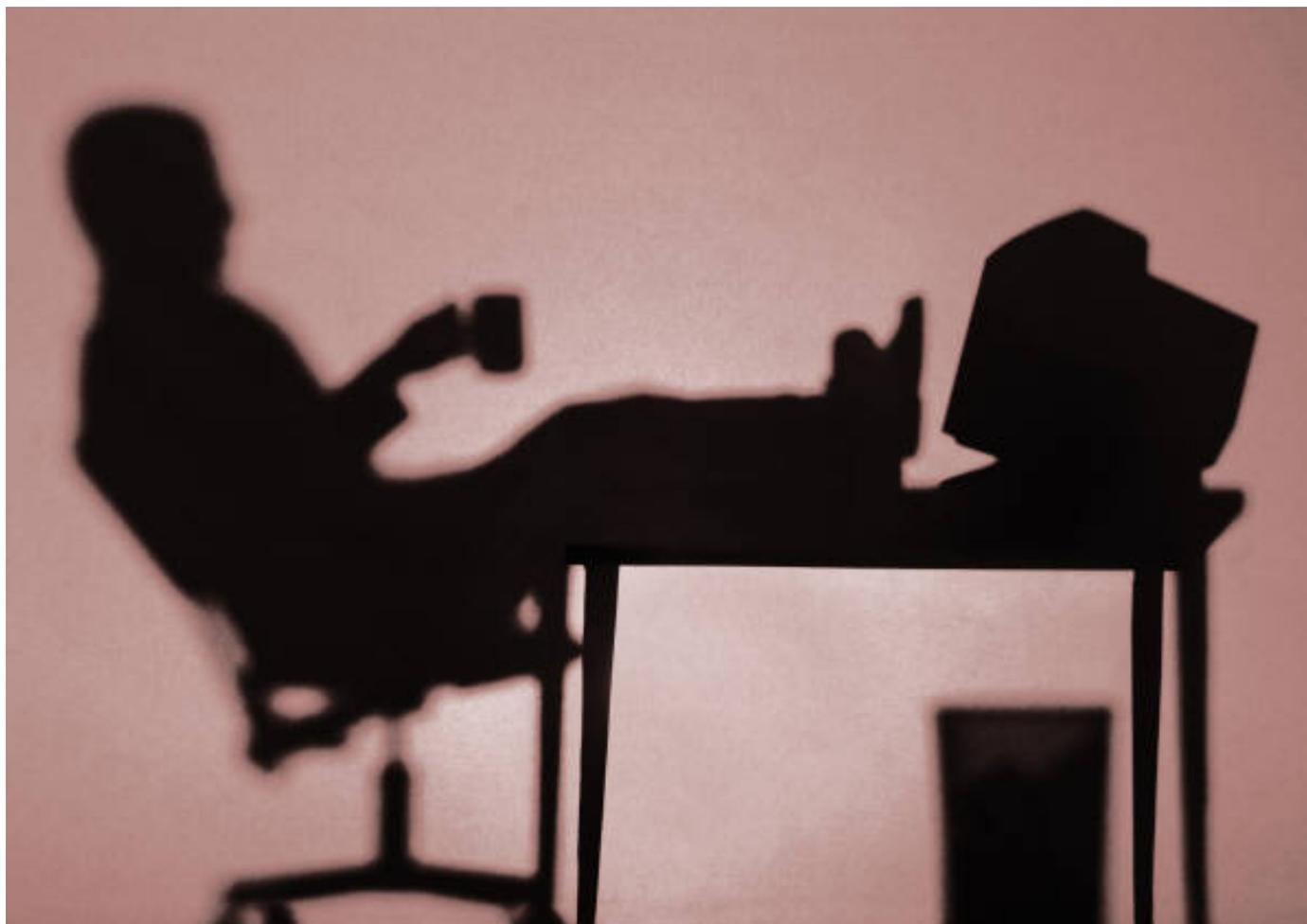
## ■ Meet with staff

- Discuss progress and identify findings (don't need to comment on the level of finding at this point)
- Allow staff time to verify factual accuracy
- Reinforce "NO SURPRISES" philosophy

## BREAK TIME

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- Speaker Randy Hulkovich

# Perform the Assessment Day 1 Evening Activities

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## ■ Assessment Team

- Discusses findings
- Agree on priority of findings (Deficiency, Concern, Observation or Noteworthy Practice)
- Draft report
- Identify areas for verification of factual accuracy, follow-up and further investigation (might want to prepare informal plan)

# Perform the Assessment Finding Categorization

## ■ Deficiency

- This is reserved for any aspect of the DOELAP program that an assessment team believes prevents the program from functioning competently. A deficiency will either suspend or revoke a current accreditation or suspend a new application for accreditation until the deficiency has been remediated.
- Failing proficiency testing in two consecutive session
- A remedial action plan is required
- A remedial action plan is required within 45 days of closeout meeting and should be corrected within 60 days of the closeout meeting.
- Remediation may be confirmed by an assessment team

## Perform the Assessment Finding Categorization (continued)

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### ■ Concern

- Deviation from DOELAP standard requirements that does not adversely affect the quality of the program. One or more concerns will not affect a program's accreditation; however, any concern not remediated by a program's next accreditation cycle will automatically be elevated to a deficiency thereby preventing the renewal of accreditation.
- Multiple concerns may be combined and elevated to a deficiency
- A remedial action plan is required within 45 days of closeout meeting

## Perform the Assessment Finding Categorization (continued)

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### ■ Observation

- This is either a suggested improvement that a DOELAP program may incorporate at its own discretion or the highlighting of a noteworthy practice. The suggestion is offered to help “fine tune” a program.
- No written response is required.

## Perform the Assessment Upgrading Previous Concerns

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- Evaluate whether to:
  - 1) upgrade an unresolved concern to a deficiency, or
  - 2) identify a new concern through an explanation of extenuating circumstances.
- The Oversight Board has the discretion to recommend a concern be elevated to a deficiency.

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- Speaker Dave Jones

# Perform the Assessment Day 2

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- Arrive promptly
- Brief staff on day's agenda (use informal plan from previous night)
- Complete investigation

## Perform the Assessment Day 2 (continued)

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- Draft final report
- Print and distribute final report
  - Give the program staff a chance to review report
  - Verify the factual accuracy of the report
    - Names of interviewees
    - Areas of investigation
    - Correct management representative(s)
    - Correct contractor name (they keep a changing!)
- Prepare informal agenda for closing meeting
- Complete final report

# Complete the Assessment Closing meeting

- People don't care how much you know
- Until they know how much you care

## Complete the Assessment Closing meeting

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- Attendance sheet
- Team lead distributes final report
- Team lead acknowledges the competence and cooperation of the facility staff, as warranted
- Team lead summarizes the scope of the assessment and explains the categorization of findings

## Complete the Assessment Closing meeting (continued)

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- Team lead presents the assessment findings
- Team lead directs the response to questions raised by facility staff (not a roundtable discussion)
- Team lead summarizes next steps in the accreditation process e.g., remedial action plan
- Team lead gets cover sheet signed by the Authorized Site Representative, or that person's designee, and the assessment team members
- Team lead distributes copies of the report

## After the Assessment

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- Send completed assessment report, assessment checklist and attendance sheets to the STM
  - Hardcopy – original assessment report, assessment checklists, and attendance sheets
  - Electronic copy (word document) – assessment report without signatures

## After the Assessment

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### ■ Remember

- The STM and OB were not at the assessment
- The site's accreditation depends, in part, on how well you communicate the seriousness of findings
- The STM has the discretion to recommend changing the status of a finding to the Oversight Board (policy is to support your observations)

## After the Assessment

- STM receives corrective action plan from participant
- STM will forward the CAP to the assessment team
- Assessors will review corrective actions sent by STM
- Email response to STM
- STM will compile an accreditation recommendation package to present to the Oversight Board

Questions?