READINESS REVIEW TEAM LEADER

TRAINING

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READINESS REVIEW TEAM LEADER

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Introduction & Course Conduct

Readiness Review

Purpose of this Course

Provide prospective Readiness Review Team Leaders with:

- –An understanding of the Team Leader Roles and Responsibilities
- –Methods to control team dynamics
- –Methods to manage interaction with the assessed organization
- –Methods to assist in Readiness Review preparation
- –Methods and tools to ensure an effective Readiness Review
- –Tips and pointers on how to deal with potential problem areas

Intent of This Course

In this course we WILL:

Provide you with tools and tips to be an effective Readiness Review Team Leader

In this course we WILL NOT:

Go over in detail information contained in the Team Member Course or spelled out clearly in the Order, Standard, or Team Leaders Guide. You have been given a copy of these documents and there are selected sections and examples in the back of this Handout.

Course Content

Module 1 - Overview, Readiness Review Roles and Responsibilities

Module 2 - Development and Content of the Plan of Action (POA)

Module 3 – Assembling the Readiness Review Team

Module 4 - Development of the Implementation Plan (IP)

Module 5 – Site Pre-Visit

Module 6 – Starting the Readiness Review

Module 7 – Managing the Team

Module 8 - Interacting with Management

Module 9 – Consensus Building & Writing the Report

Written Examination

What is expected of you?

- Be on time and back from breaks/lunch on time
- Devote your time to this course while in session
- Ask Questions but keep on topic
- Turn off or put on silent all cell phones
- Take notes – Exam will be based on both information in slides AND presentation discussions
- **PARTICIPATE!**

Module 1

READINESS REVIEW TEAM LEADER

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Overview – Readiness Review Roles and Responsibilities

Readiness Review

What is a Readiness Review?

- A disciplined, systematic, documented, performance-based examination of:
  - –Personnel;
  - –Procedures/processes;
  - –Facilities/equipment;
  - –Management control systems/Safety Management Programs.
- To verify that operations can be safely conducted within the approved Authorization Basis as defined in the Authorization Agreement/Safety Basis.
- Pre-Startup Safety Reviews are **required** in industries other than just DOE Nuclear Facilities!

Current Orders and Directives

DOE O 425.1D, *Verification of Readiness to Start Up or Restart Nuclear Facilities* (Significant change in the process from previous versions)

DOE-STD-3006-2010, *Planning and Conducting Readiness Reviews* (previously DOE-STD-3006-93/95/2000

DOE-HDBK-3012-2003, *Team Leader's Preparation Guide for Operational Readiness Reviews (ORR)*

WWW Home Page - http://www.hss.energy.gov

(CD with these references provided with this course – check for updates)

Role of Contractor Line Management

- Include Readiness Considerations in Project Management Plan & Budget
- Define Level of Review (ORR/RA) or exemption
- Submit Startup Notification Report to DOE
- Execute Project Management Plan including readiness elements – ACHIEVE READINESS (ongoing process)
- Submit Readiness Review Plan of Action (POS) to Contractor Management and DOE Field Element
- Achieve and Verify Readiness (MSA or similar process)

Role of Contractor Line Management (continued)

- When Ready – Submit readiness declaration to contractor Senior Management
- When Authorized, Start and Support the Contractor RR
- Resolve Findings or CAP for Contractor RR results
- Prepare Readiness to Proceed Memo forward to DOE (if DOE is SAA)
- Support DOE RR
- Resolve Pre-Start Findings, Correct or CAP for Post Start Findings
- When authorized by SAA – Startup in accordance with the Startup Plan and Operate Safely

Role of DOE Field Element

- Ensure Contractor submits accurate quarterly SNR
  - Approve (or endorse) SNR
- Prepare POA for DOE RR
- Ensure Contractor prepares an adequate POA
  - Adequately defines Scope and Prerequisites
  - Evaluate Qualifications of RR team members
  - Review and Approve (or endorse) Contractor POA
- Routine oversight of contractor process for achieving readiness
- Achieve readiness for DOE to oversee contractor operations

Role of DOE Field Element
(continued)

- Evaluate adequacy of the Contractor RR
- Verify adequacy of Contractor RR Report to support conclusion regarding Startup or Restart
- Verify closure of findings and approval of CAPs from Contractor and DOE RRs
- Evaluate and endorse Contractor Readiness to Proceed Memo (when DOE is SAA)
- Oversight of contractor startup or restart in accordance with the approved startup plan

Line Support to the Readiness Review

- Nominate RR Team Leader in POA
- Assist in securing necessary RR Team Members
- Assign Line POC and RR Counterparts
- Support the RR Pre-Visit
- Support Successful Completion of the RR
- Respond to the Readiness Review Report positively – correct deficiencies and findings

Line Support for the Pre-Visit

- **Communicate with Team Leader** for Pre-Visit Arrangements
- Logistics – area and site maps, recommended hotels, meeting areas, access requests
- Site and area training if required for unescorted access
- Prepare Site Brief (key word *brief*) & tour
- Ensure POC and Counterparts are available for the Pre-Visit
- Send any advance information requested by Team Leader

Line Responsibilities During RR

- Provide Logistics Support
  - Team work areas & supplies
  - Computers and/or personal laptop approval, printers, etc
  - Access to site network for document review/retrieval
- Ensure site personnel are available and support the RR
- Ensure Site Counterparts are engaged
- Provide Factual Accuracy Checks of information presented – dedicate the time and resources!
- Interact on positive basis with Team Leader and Team Members

Startup Approval Authority roles wrt Readiness Review

SAA is designated in the Startup Notification Report (Approved by DOE)

- Approves POA
  - Including approval of the Team Leader
- Provides POA to the Team Leader
- Receives the Readiness to Proceed Memorandum
- Directs the Readiness Review to Start
- Receives the Readiness Review Report
- Reviews RR recommendation and acts accordingly
  - Approves Startup/Restart
  - Does Not Approve Startup/Restart – directs further action

Team Leader Responsibilities Overview

- Assemble the Team
- Plan for the Review
- Coordinate with the Site and Site POC
- Schedule and Arrange Site Pre-visit
- Coordinate logistics and training
- Write the IP to meet the POA
- Manage the Readiness Review
- Write the Report with input/assistance of Team
- Recommend to the SAA regarding startup/restart

Module 2

READINESS REVIEW TEAM LEADER

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Development and Content of the Plan of Action (POA)

Readiness Review

DOE POA Fundamentals

- Developed by DOE Line Management responsible for the facility
- Forwarded to PSO, site Lead PSO or CSO, CTA and HSS for information
- POA approved by the SAA
  - SAA provides POA to the Team Leader
    - For purposes of the RR, the TL works for the SAA

Differences for Contractor RR

- Contractor POA is prepared by the Contractor Line Management
- Contractor forwards the POA to local DOE Line Management
- SAA still approves the POA
- If Contractor is SAA
  - The SAA must be one at least one level above the level responsible for operation of the facility/activity

Plan Of Action

Establishes Scope of RR

- Physical Scope – buildings, systems, processes, Safety SSCs etc.
- Breadth - Every Core Requirement (CR) must be addressed
  - Elimination of a CR must be based on timely independent review with satisfactory report
- Depth and/or tailoring for each CR

POA SCOPE

- Scope Section is key to the POA
  - Too restrictive – inability to determine actual readiness
  - Too undefined – Team may be forced to review and evaluate areas not intended by the and not conducive to determining actual readiness

- Team Leader may be asked to provide input on Scope
  - Be careful not to assume responsibility for writing the POA – that is line management's job

POA Contents

1. Name of Facility or Activity being Started/Restarted
2. Description of the Facility or Activity – physical scope
3. Identification of Responsible Contractor
4. Designation as New Start or Restart
5. New Start or Restart Discussion
6. Scope of the RR (CRs addressed and depth)
7. Prerequisites for each CR addressed
8. Proposed Team Leader
9. Estimated RR start date and duration
10. Official to Approve Start of RR
11. Official to Approve Startup/Restart (SAA)

Module 3

READINESS REVIEW TEAM LEADER

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Assembling the Readiness Review Team

Readiness Review

Staffing the Team

Team Leader picks the team but cannot “secure” the team without support and commitment from DOE and Contractor Management

- DOE Line Management must support staffing the DOE RR Team
- Contractor Line Management must support staffing the Contractor RR

POA

- Team Leader is named in the POA
  - You should have advance information on the pending Readiness Review
- Then again, things change
  - You may be a replacement
  - SAA must approve new Team Leader

Team Leader Qualifications

1. Technical familiarity with the activities and functional areas being reviewed
2. Previous performance-based review experience or training
3. Demonstrated leadership and management skills, including seniority in relation to the team members
4. Readiness Review experience or formal training
5. Knowledge of facility, activity or operation

Senior Advisor

The POA

- Designates Team Leader – SAA approves
- *May* include name of Senior Advisor
- Team Leader should carefully consider need for Senior Advisor even if not named in POA

Senior Advisor

- Consider “technical credentials/experience” in the process/activity/operation or risk area
- Ideally someone known to/respected by Team Leader and DOE/Contractor Management
- Helps Team Leader “put things in perspective”
- Do not assign CRADs to a Senior Advisor

Team Leader/Senior Advisor Independence

- Must not be from offices assigned direct line management responsibility for the work being reviewed
  - Exceptions must be approved by SAA

Deputy Team Leader

- Consider when RR is complex or team size is large
- Deputy Team Leader should not be assigned CRADs
- Assists Team Leader and responsible for a portion of the final report

Review Coordinator

- Invaluable part of the team
- Experienced in RR team dynamics, forms, and reports
- Need person who can organize, track, edit, interface and generally keep things “on track”
- Frequently overlooked or considered “not necessary” – MISTAKE

Team Leader Must

Identify Team Composition

Based on POA and facility/activity/operation

- Subject Matter Experts (Review Team)
- Assess need for Deputy Team Leader
- Seriously consider need for Senior Advisor
- Don’t get talked out of an Review Coordinator
- Consider Security Clearance Requirements

Team Member Qualifications

1. Technical knowledge of the area assigned
   - including experience working in the technical area;
2. Knowledge of performance-based assessment processes and methods
3. Knowledge of facility, activity, or operation-specific information.
4. Independence
   - may not review own work or
   - work for which he/she was responsible manager
5. Able to commit necessary time and effort

TEAM MEMBERS

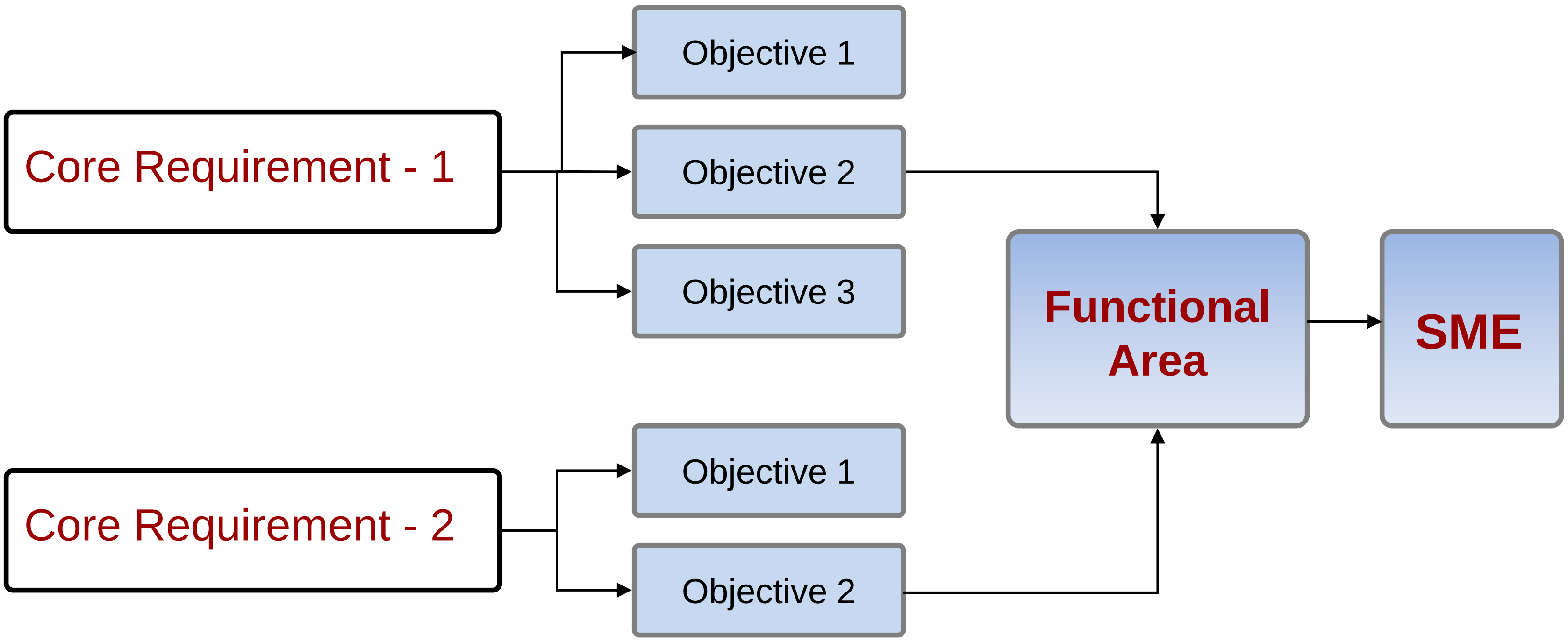
People gain experience in Functional Areas, not Core Requirements

Must "convert" Core Requirements and Scope statements in POA into "Functional Area" needs

Team Member Selection, Typical Functional Areas

- Engineering Support
- Fire Protection
- Occupational Safety (IH/IS)
- Management
- Configuration Management
- Procedures
- Radiation Protection
- Operations
- Safety Envelope
- DOE Organization
- Training and Qualification
- Quality Assurance
- Software Quality Assurance
- Criticality Safety
- Environmental Protection and Waste Management

Team Member Identification By Core Requirement



Team Member Selection

Where do you identify/get Team Members?

- Other Team Leaders
- Program Offices/HSS
- Other DOE Site Offices
- Contractor personnel (no conflict)
- Other Contractor organizations
- Technical Working Groups (like EFCOG)
- Your contacts within technical area

Team Leader Communication

Team Members – Ensure they understand

- Level of effort expected
- Schedule, including potential for change, and
- Commitment for the duration of the RR (including preparation and post review activities)

Management of prospective Team Members

- Ensure they understand/support the commitment

Team Leader Needs To

Anticipate possible problems if RR delayed

- Identify early if Team Members have schedule conflicts
  - Identify alternate Team Members early
  - Particularly important if “Q” Clearance required
- Keep in constant contact with facility to anticipate delays/problems
- Ensure Team Members are kept informed
- Maintain contact with management to ensure support for RR

When to select the Team

Must be done

- With consideration of potential for schedule change
- In time to support Pre-Visit
- Early enough to allow Team Member to develop CRADs

Module 4

READINESS REVIEW TEAM LEADER

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Development of the Implementation Plan (IP)

Readiness Review

Implementation Plan

- Prepared by RR Team Leader with assistance of the Team
- Documents the process for the RR and rationale for that process
- DOE RR should address adequacy of the Contractor RR
- On-site visits and discussions often needed in preparation of IP

IP Approval

- The IP is approved by the Team Leader
- No other approval is required by DOE O425.1D

Content of IP

- Specific Content in references provided
- Team Leader documents qualification of Team Members in IP
- Contains Criteria And Review Approach Documents (CRADs)
  - Key component of IP
  - Directs performance of review at the working level
  - TEAM MEMBERS PREPARE CRADS!!
- Includes Pre-Start and Post-Start Finding Criteria

IP Flowdown

The Implementation Plan

- Flows down from the POA
- Cannot be written in a vacuum
  - Must understand key commitments
  - Must have references/resources available
- Communication and/or visits to site (before formal Pre-Visit) may be required

Developing CRADs

From POA - Outline key emphasis areas (examples)

1. What are physical boundaries?
2. What are key Structures, Systems & Components (SSC)?
   - Where any of these modified?
3. If a Re-start, when/why was the facility shutdown?
   - Have there been management changes?
   - Have there been operator/support changes?
4. What are the key "risk areas" to be addressed

First Step in establishing Depth – Grading approach

Developing CRADS

(continued)

From the POA and your notes (previous side)

Identify potential Functional Areas

- Is Criticality an area of Concern?
- Are Radcon controls key in the review?
- Is Change Control/Configuration Management/Engineering relevant?
- Is Fire Protection/Response an important element?
- Are Industrial Safety/Hygiene concerns significant?
- Are Maintenance/Testing activiteis important?
- Is Conduct of Operations a key area of concern?

Developing CRADS
(continued)

- Once Functional Areas have been identified, Team Leader identifies Subject Matter Experts (See Assembling the Team)
- While Team Leader may assign and even draft CRAD Objectives, Team Members must develop and refine the CRADS
  - May require communication with Site Counterparts early and often
    - Keep relationship “at arms length”

Developing CRADS

Example

If modifications have occurred – emphasis there, less on unmodified systems

- Do they conform to DSA? Change Control? USQ process? Procedure/Training completed? Etc.

If shutdown duration was extended – Emphasis on

- Management and personnel turnover/chgs – training, dry runs, qualification processes
- Condition of equipment – layup conditions, maintenance, testing, etc.

Establish "Objectives"

- Objectives are statements of desired conditions (Performance Objectives)
- Written along Functional Area lines
- Taken from Core Requirements scoped in POA
  - Not always 1 to 1 correlation
  - May have more than one CR in an Objective
- ALWAYS – Reference the CR(s) that the objective addresses at the end of the Objective
- Ensure that all CRs addressed in the POA have been accounted for in the IP (be methodical)

Example Objective

CM-1 Safety structures, systems and components (SSC) are defined and a system to maintain control over their design and modification is implemented. Systems and procedures, as affected by facility modifications, are consistent with the facility description, procedures and accident analysis and assumptions included in the safety basis. Modifications have been completed and fully closed or evaluated and determined to not affect the ability to safely start nuclear operations. Modifications to the have been reviewed for potential impact on training and qualification. **(CR 3, 6, and 8)**

Example Objective

Could break this up into smaller bites if desired:

CM-1.1 Safety structures, systems and components (SSC) are defined and a system to maintain control over their design and modification is implemented. **(CR 6, 8)**

CM-1.2 Systems and procedures, as affected by facility modifications, are consistent with the facility description, procedures and accident analysis and assumptions included in the safety basis. **(CR 8)**

CM-1.3 Modifications have been completed and fully closed or evaluated and determined to not affect the ability to safely start nuclear operations. **(CR 8)**

CM-1.4. Modifications have been reviewed for potential impact on training and qualification. **(CR 3)**

Develop Criteria to Support Objective

Determine Requirements!

1. Federal Regulations – 10 CFR 830, 835, etc
2. From Contract, List A/List B, SRIDS, Work Smart Standards, etc.
3. May flow down from program level documents
   - QA Program, FP Program, ISMS, etc may commit to DOE or industry standards, thereby creating requirements

CANNOT DEVELOP CRITERIA WITHOUT THE REFERENCES!!!!!

http://www.hss.doe.gov/nuclearsafety/ns/techstds/standard/standard.html

Example Criteria

4. Drawings and Documentation relied on for maintenance and operations are consistent with the existing configuration of the systems, including temporary modifications in place for the operations included within this startup. (DOE-STD-1073-2003; Ch 1.3, DOE O 433.1B, 2.b; DOE O 422.1, 2.8.7; XYX Configuration Management Plan, CMP 1 Rev 4, Ch 3.4.5)
5. Safety and Support Systems and equipment are consistent with the assumptions and descriptions in 210 CFR 830.200; 28974-DSA-2010, Rev 3 Chapter 3, 7 and 9; XYZ Configuration Management Plan CMP 1 Rev 4, Ch 3.4.1)

Collecting References

Use your experience and Mental Model
Communicate with Site Counterpart

Top Tier

- –Federal Rules (830, 835, etc)
- –OSHA (LO/TO, Confined Space, etc)
- –Approved Safety Basis Documents (DSA, BIO, JCO, TSRs)

Second Tier

Authorization Agreement
DOE Orders, Intl and DOE Standards in Contract, etc.
Upper Level Program Plans
e.g. QA Program, FP Program, ISMS, Training Plan
Standards committed to in Program Plans

Collecting References

(continued)

Third Tier (generally don't introduce new requirements)

- –Site Level and Facility Level Procedures
- –System and Process Level Procedures

Ensure that each Criterion has the reference identified – Remember

"For every valid compliance requirement there is a performance-based root"

Review Approach

Identify the best method (or combination of methods) to determine if the criteria are met.

Document Review:

- Review System Engineer Modification Logs maintained per the XYZ Configuration Management Plan to determine modifications made to support startup. Review Operations Temp Mod Log to determine any outstanding temporary modifications in place.
- Review affected Standard Operating Procedures (SOPs), Alarm Response Procedures and 25% of current Maintenance Procedures on affected equipment to confirm that modifications are correctly represented in the procedures to be used for the startup. (coordinate with CONOPs and MAINT)
- Review drawings affected by the modifications to determine if the drawings reflect the modifications. For Temporary Modifications, review the Control Room “Redline” drawings to ensure that temp mods are correctly reflected in documents used by the control room.

Review Approach

(continued)

Identify the best method (or combination of methods) to determine if the criteria are met.

Interview:

Interview Engineering Manager and System Engineer to determine level of knowledge about the design control system with particular emphasis on modification and temporary modification control.

Interview 50% of Maintenance Supervisors (include is sample all new Supervisors) to determine level of knowledge about what maintenance actions constitute modifications and how modifications are controlled (Coordinate with Maint)

Interview 50% of the Control Room Supervisors (all new Supervisors) to determine level of knowledge about control of Temporary Modifications, redlines, and methods to ensure that operations and support personnel (maintenance, radcon, IS/IH) are made aware of temporary modification that effect their work activities. (Coordinate with CONOPS)

Review Approach

(continued)

Identify the best method (or combination of methods) to determine if the criteria are met.

Observations:

Conduct facility walk-downs (coordinate with CONOPS) to determine facility equipment and facility status with particular emphasis on modifications and existence of temporary modifications. Be particularly mindful of apparent electrical jumpers, spool pieces, blank flanged opening, etc. to determine if these are temporary modifications and if noted confirm through document review and/or interview if they are controlled per the Configuration Management Plan.

Conduct walk-down of 25% of the modifications noted in the document review (at least 2 completed and at least one temp mod if any exist) to determine if the modification is correctly reflected in the drawings, procedures, redline drawings, and temp mod log.

Module 5

READINESS REVIEW TEAM LEADER

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Pre-Review Site Visit (Pre-Visit)

Readiness Review

Team Leader Early Actions

Team Leader

- Often starts work on IP early
- May make initial/several site visits in advance of the formal Pre-Visit
- Often develops initial “draft” CRADs to be given to Team members (Objective level only)
- Final IP and CRADs often finished after the formal Pre-Visit and numerous communications with the site

Pre-Visit

Key Step in RR Process

ALL Team Member need to attend

If new members assigned later – may need special visit

Pre-Visit

Communicate Support Needs to the Site:

- Number attending and required space/resources
- Understand site access requirements
  - Ensure training for site visit is arranged
  - Ensure training for actual RR access is arranged
- Site POC and Counterparts are to be available and engaged

Site Pre-Visit

Communicate Support Needs to the Site:

- Need for a startup/restart briefing
- Need for site familiarization tour
- Procedures and documents requested are available
  - Format (hard copy, CD, database access)
  - Number of copies of each
- Identify possible early observation opportunities (eg. site emergency drills)
  - May want to consider this when scheduling

Site Pre-Visit

Communicate Expectations to the Team:

- Area maps, hotel arrangements, etc.
- Travel expectations (when to arrive/leave, rental cars, etc)
- Dress and decorum expectations
- Team meeting before arrival at the site
- Identify team member limitations (if any)
- Early identification of CRADs is useful (know what they will be charged with evaluating)

Pre-Visit Cautions

- Don’t let the “brief” take up too much time
- Make sure site counterparts will be available and engaged
- Don’t schedule too early – changes in RR schedule
  - May impact available team members
  - May impact key elements to be reviewed
- Don’t schedule to late –
  - No time to prepare or refine CRADS
  - No time to incorporate information from the visit
- Don’t let the visit degrade to a “reunion”
- Don’t let Team Members skip out on the visit

Module 6

READINESS REVIEW TEAM LEADER

TRAINING

Starting the Readiness Review

Readiness Review

Before the RR can start

- Contractor and DOE RR must not start before DOE Approves the SNR
- Contractor Management should complete MSAs or other methods to assure itself readiness has been achieved
- For Contractor RR
  - Contractor Line Manager senior to Manager responsible for achieving readiness approves start of RR
- For DOE RR
  - Contractor has submitted Readiness to Proceed Memorandum
  - SAA has approved the start of the DOE RR

Approval to Start Contractor RR

Based on:

- MSA or other measures by responsible Line Management to verify readiness:
  - People, Procedures/Processes, Facility ready
  - All Pre-Requisites of POA have been completed
  - All punch-list items to support operations resolved
  - Actions from Project Management Plan for achieving readiness completed

Approval to Start

Contractor RR Requires

- Written statement of readiness to Senior Contractor Management

DOE RR Requires

- "Readiness to Proceed Memorandum"
  - Submitted by Contractor Line Management
  - Endorsed by DOE Field Element

Starting the RR

Team meeting immediately before starting the RR – can be in common hotel, at site or whatever is convenient

- Go over Review Ground Rules
- Team Leader Expectations
- Intervention Criteria
- Methods of communication if significant issue identified
- Confirm contact information
- Confirm Team Meeting times/locations
- Pass out schedules, sample forms, thumb-drives, etc

Team Leader

Communicate Review/Reinforce Ground Rules (examples)

- Do be professional and courteous
- When/How to contact Team Leader/Senior Advisor
  - When intervention required
  - When obvious conflict has occurred
  - When member will miss Team Meeting
  - When significant safety issue (immediate concern) is noted
- Do not act as Safety Observer
- Do not direct workers
- Do not impose anomalies/casualties when observing
- Do not distract when work is in progress
- Etc.

Intervention Criteria

- When imminent danger is present
- When next action is likely to
  - Cause significant damage to equipment
  - Violate the safety basis
- Others as agreed with Management

When Intervention is Required

Note condition to Counterpart or Line Manager/Supervisor if one present

- They should take action
  - May be a valuable data point for the review
    - Was action appropriate?
    - Why did they not notice the condition?
    - Why did they not act?
- Only if they do not take action do you directly intervene
- Immediately notify Team Leader or Senior Advisor (in either case above)

Kick Off Meeting

- Provide overview of Purpose/Scope
- Introduce Team
- Allow Site Briefs (short) including
  - Organization/Functions/Operations/Interfaces
  - Current outstanding issues and actions planned to correct
- Allow Line Management and DOE to introduce Counterparts
- Go over RR Schedule

Kick Off Meeting

- Go over Team Meeting schedule
  - Emphasis this is the RR Team's meeting
  - Counterparts or representative may attend
  - Tentative information may be presented
- Go Over RR Team Interaction Rules
  - Request that all operators be briefed on intervention rules
- Keep Kick Off Meeting short
- Allow time after Kick Off for Team to meet with Counterparts

Module 7

READINESS REVIEW TEAM LEADER

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Managing the Team

Readiness Review

Team Meeting

- Establish regular meeting time and location
- Keep meetings short and focused
- Remember counterparts will be there but are not participants, only observers – they can meet with Team Members after the meeting for discussion
- Discuss openly but with due respect
- Keep conversations professional & appropriate
- Each Team Member should present his/her observations/concerns/potential issues
  - Identify items tending towards issues/findings
  - Identify items where follow up is required

Tracking "Pending Issues"

- Devise method for keeping track of "open" or "pending" issues raised during Team Meeting
  - Flip Chart/White Boards
  - Matrix or Spreadsheet
  - Daily Debrief Notes
- Make sure things don't
  - Fall through the crack or
  - Become crisis to resolve at the last minute

*(See example at back of Student Handout)

Early in the Review

Gauge each Team Member

- Is he/she meeting review expectations?
- Is he/she keeping Team and Team Leader informed of issues and progress?
- Is he/she on track and focused?
- Is he/she up to date on recording results?

Allows early intervention if required

During the Review

- Keep Team Member's on track and focused
  - Ask specific questions to gauge progress
- Don't allow to get behind on writing
- Don't allow to give "looks good" as results
  - Force the issue – specifically why?
- When sufficient detail has been developed and validated for a Finding – get it written – don't wait till end

Use Resources Wisely

Use your Review Coordinator wisely

- Schedule meetings and interviews
- Central point for communication flow
- Help with formatting write ups and start report boilerplate early
- Coordinate submission of review results
- Maintain "change control" of input
  - After first day or two, put revision control of forms under the Review Coordinator control
- Coordinate with site for document requests

Keep Members on Track

- Make sure Team Members are writing as they go – if they don't you'll be in trouble at the end
- Fill out Form 1 (or similar) each day
- Team Leader should read Form 1s daily
  - Is Team Member progressing?
  - What is the status of the information?
  - What does it mean?
  - Does it conform to expectations (considering this stage of the review)
- Generate draft Finding Forms (Form 2s) when substantiated finding exists

Form 1 Use

Front portion directly from CRAD

During the Review Team Member fills in the following sections (as he/she goes, not just at the end):

- Documents Reviewed (list of documents/procedures, etc reviewed)
- Personnel Interviewed (by title/position)
- Observations (Evolutions, Field Activities Observed, etc)
- Discussion of Results: Provide a discussion of the performance against the criteria. Each criterion should be discussed separately so that it is clear why the criterion was or was not met.

Challenge Assumptions

- Be prepared to Challenge Assumptions about
  - Significance (Ask the "So what?" question)
  - What was done or not done?
  - What does it mean?
- Need to remember that most deficiencies are just indicators – need to go deeper
- Encourage Team Members to "Pull the String"
- Do this early – the last day is too late!

Why Challenge?

"If we can't convince ourselves, how can we convince anyone else?"

- Helps Team Member's get past surface clutter
- Ensures review results are meaningful
- Prevent later problems if assumptions were incorrect

Be prepared to act

If Team Member is not meeting expectations

- Counsel – early intervention
- Use Senior Advisor as mentor
- Reassign work (review must get done)

If Team Member causes conflict

- Get full story first*
- Same actions as not meeting expectations plus
- May need to consider removal from Team

Module 8

READINESS REVIEW TEAM LEADER

TRAINING

Interacting with Line Management

Readiness Review

General Relationship

- By the time Review starts, you should already have established rapport with Management
- Keep cordial but "arms length" relationship
- Don't get sucked into problem solving before or during the review
- Present briefings professionally and be "brief"
- Respect Line Management and they will respect you

When Management Has a Problem with a Team Member

- Put your "game face" on
- Do not react negatively – do not over-react
- Get full information on perceived problem from them – get details
  - time/place/actions/words/comments etc.
- Don't defend or condemn at this point
- Inform them you will investigate and deal with the situation accordingly

When Management Has a Problem with a Team Member

- Get the Senior Advisor involved
- Get the facts
- Discuss with the Team Member
  - Don't confront or assume he/she is wrong
  - Get his/her side of the situation
- Discuss with Senior Advisor
- Set course of action
- Feedback to Team Member
- Feedback to Line Manager
- Take Action if warranted

When the Team Has a Problem with a DOE or Facility Staff Member

- Basically same actions as for when Facility has a problem with a Team Member
  - Except you do not interact with the Staff Member – they do
- Get perceptions and facts
- Don’t over-react
- Don’t ignore
- Try not to let it unduly influence the RR

Briefing Management

- Brief at end of first day generally not productive
- Daily briefing is common but not mandatory
- Establish briefing schedule as desired (Team Leader and Management decide)
- If you do brief, make it "brief"
- Counterparts attending Team Meeting can act as conduit to Management
  - Briefings can be limited to presentation when findings are being considered

Line Management Support

- Encourage the Line to have personnel there to support the RR (beyond just counterparts)
- Too much $$ is riding on the outcome not to
- Rapid response to questions can save time and make for accurate results
- Best Readiness Reviews have dedicated line support ready to “look stuff up” and respond to requests

Preliminary Conclusions

When preliminary conclusions are formed:

- Get them down on paper (in draft form)
- Confirm validation of facts has been done
- Assess if additional information is needed
- Discuss with team – get consensus or refine
- Don't wait till last day for Conclusions
  - Hard to build consensus in one day
  - Team has to have confidence in the "process."

Factual Accuracy Checks

- All conclusions and deficiencies or findings must be based on validated information
- When findings are being "firmed up" provide information to Line Management for "factual accuracy check"
- With good Counterpart relations this is an ongoing process during the reviews (especially for deficiencies)
- Make sure they understand:
  - This is not a point to discuss if it is or is not a finding
  - This is a method to determine if the information presented is factually accurate

Module 9

READINESS REVIEW TEAM LEADER

TRAINING

Consensus Building and Writing the Report

Readiness Review

Team Meetings
Where Consensus Building Starts

Encourage:

- Discussion of observations and what they mean
- Interchange of professional experience and opinion
- Respectful challenging of preliminary conclusions
- Suggestions from team on how to focus in on the real issue
- Comparison of observations and impressions

Keep the Team a Team

- Don’t ostracize any Team Member (even one with seemingly contradictory views)
  - He/She may really have the most accurate picture
- Ask them to explain the basis for their views
  - Don’t ignore their thoughts – they may be proven to be right
  - Ignoring them or generating conflict may lead to need for “Differing Professional Opinion” section in the report
- Look for common ground with other observations

Writing the Report

If your Team has been keeping up with the writing as they go – the Readiness Review Report is relatively straightforward

If not – It is a real chore!

Good Form 1s

- A Good Discussion:
  - Provides information, that when read by a knowledgeable person, will lead him/her to the same conclusion that you reached
  - Each Criterion should have a detailed discussion supporting whether the criterion was met (or not met)
  - If issues are identified, they should be supported in the discussion write up

Form 1s & Form 2s

- Discussion Section is key in conveying if the Criterion was met and ultimately if the Objective was met
  - Good Discussion:
    - Objective
    - Analytical
    - Supported by background detail
  - Poor Discussion:
    - Extreme
    - Speculative
    - Too General
    - Inappropriate

Criterion Met?

- Each criterion should be discussed separately
- Discussion should end with a simple statement
  - “This criterion was (or was not) met”
  - Must be based on validated facts
    - If not met there should be an Finding
    - Reference the Finding in the discussion
    - There can be a Finding and the criterion can still be met

Objective Met?

- If all Criteria are met, the Objective is met
- Objective can still be met even if one or more Criterion are not met
  - Evaluation has to be based on cumulative effect of the issues identified as it relates to the Objective
  - Team Leader and Senior Advisor along with Team Member evaluate and determine

RR Report Content

Specific Content is discussed in DOE STD 3006-2010 (not repeated here)

Executive Summary – one to three pages

- Brief synopsis of review activity
- Management system's adequacy to oversee operation
- Summary evaluation of the adequacy of the readiness preparation (and Contractor RR if this is DOE RR)
- Synopsis of significant problems and strengths

RR Report Content

RR Evaluation

- Overall evaluation of Readiness to start up/restart
- Individual Functional Area summary (1 page or less)
  - Discuss CRs and provide conclusion as to readiness of the functional area
  - Conclusions as to readiness of hardware, personnel, procedures, and management system wrt functional area (including key issues)
  - Form 1s provide the detailed backup for the summary
- Findings must be addressed, including pre-start and post-start
  - Form 2s provide the detailed backup for the Finding summaries

RR Report

Status of Requirements – state whether the facility has established:

- An agreed-upon set of requirements for governing safe operations
- This set of requirements has been formalized with DOE through an enforceable mechanism
- These requirements have been implemented or compensatory measures, approved by DOE, are in place
- In the opinion of the DOE RR team, adequate protection for the public health and safety, worker safety, and the environment will be maintained

RR Report

Implementation of ISMS

To the extent that ISMS core functions and guiding principles were evaluated in the review, the Team Leader should include a statement regarding assessment of those functions and principles. Only to the extent that the ISM processes are visible in the established review should they be evaluated and commented on.

Reporting of Findings

- All Findings related to the review objectives identified during the RR must be identified in the report
  - Including those that the contractor or DOE line management asserts have been corrected before the end of the RR
- Conditions identified outside the scope of the RR are generally not included in the report but instead are identified by the Team Leader to Contractor or DOE Line Management for entry into their corrective action tracking system.

Deficient Conditions and Findings

- A **Deficient Condition** is an individual nonconformance with a stated requirement.
- A **Finding** is a nonconformance with a stated requirement that represents either:
  - A systematic failure to establish or implement an adequate program control; or
  - A significant failure that could result in unacceptable impact on the safety of personnel, the facility, the general public, or the environment during nuclear operations

Findings

- It is always possible to find Deficient Conditions
- Challenge is to determine when a group of seemingly minor issues is indicative of a more systemic issue that should be identified as a finding
- Team Meeting brainstorming and Senior Advisor involvement are effective avenues to explore significance of individual deficiencies

Pre-Start vs Post Start Findings

- Criteria for determining what is Pre-Start or Post-Start Finding should be in the IP
- A Two Step - Initial Screening and Impact Assessment “Process” is often effective in making the determination

(Example included at the end of this handout)

Final Team Meeting

- Restricted to Team Members ONLY
- Team Members must provide
  – Completed Form 1s, including conclusion
  – Completed Finding Forms (Form 2s)
  – Write up Discussion of their Functional Area, including overall conclusion
- The final conclusion, major issues, overall themes, and consensus on catgorization of each finding (Pre-Start or Post-Start)

Closeout Meeting

- Prepared base on Form 1, Form 2, and conclusions drawn by the Team
- As a minimum prepare the Executive Summary as a handout at the meeting
- Draft report, if complete can be provided to Senior Management
- It may be appropriate for some selected Team Members to attend the closeout

Final Report

- Final Report should be completed with all signatures prior to the Team Leaving the Site
  - Do not allow Team Members to leave until their section is completed, reviewed and approved by the Team Leader and Senior Advisor
- Each Team Member signs for his/her section of the report in addition to their respective Form 1s and Form 2s.
- Team Leader and Senior Advisor final signatures may be delayed to allow the site time for Factual Accuracy review

What happens if they are not Ready?

If during the course of the RR the Team determines that conditions indicate they are not ready to start up or restart there are two basic options:

1. Suspend the RR - write an interim report covering the review done to date. A recommendation would be made to repeat the entire RR.
2. Continue the RR in the areas where performance is acceptable and finalize a report in those areas with a recommendation that readiness has not been achieved in the deficient areas

SAA Concurrence for Suspension of RR

- Suspension of an RR is not to be taken lightly
- If considering suspension of the RR, the Team leader and Senior Advisor should confer with the SAA.
- If the SAA does not agree with suspension, then the Team is obliged to continue with the RR with the determination that readiness has not been achieved.

RR Follow-up Activities

- Team Leader and Team Members **MAY** be asked to:
  - Provide interpretation (and justification) of information presented
  - Review corrective action plans and review final closure packages
- Team Leader may be tasked with presenting the RR Report to DOE upper management