

Instructions for EM Corporate Performance Metrics

Quality Program Criteria

Header

- 1) Site: construction project, operating project, or contractor QA program being evaluated
- 2) Period for which the evaluation is being performed [e.g., FY 2013]

Pages 1-2

Pages 1-2 provide a summary roll-up of the scoring completed for each of the 10 CFR 830 criteria, supplementals of DOE O 414.1D and EM-QA-001 shown on the following pages of the table. Users should enter the performance color for the Previous Period (if available) and Current Period. The colors chosen will be based on the "Criterion Score" method listed in this instruction.

Pages 3-4

List each of the 10 criteria and 3 supplemental requirements contained in the Code of Federal Regulations, Title 10 Part 830.122 (10 CFR 830.122), Subpart A – “Quality Assurance Requirements” under Part 830 – “Nuclear Safety Management”, DOE O 414.1D, *Quality Assurance*, and EM-QA-001, *EM Quality Assurance Program*.

Performance Metrics Beginning on Page 5

Top (shown in blue) of the page identifies each of the 10 criteria contained in 10 CFR 830.122. These criteria are also identified in DOE O 414.1D “*Quality Assurance*”, along with 3 supplemental sections that are included in the metrics.

This is followed by the 18 requirements of ASME-NQA-1, 2008 “*Quality Assurance Requirements for Nuclear Facility Applications*” and the supported Integrated Safety Management (ISM) core functions and guiding principles cross-walked to the 10 criteria of 10 CFR 830, as shown in the ISM System Description for the EM Program.

Criterion Score shown on the top right will be based on a numerical average of the element scores as discussed in this instruction.

Lines of Inquiry

Lists the specific lines of inquiry that need to be addressed and scored under “Response”.

Response

A justification should be provided under **Basis** for each individual element (A, B, ...). Basis provided should be substantiated by other project/site reporting of QA program performance, corrective action management, non-conformance tracking, etc.... The Basis should provide an explanation of the process implemented to address the LOI, rationale for the process construct (graded approach) and discussion of how the current health compares to the previous period health when a change is identified... Basis should provide an explanation of how the expectation is implemented (process description), what, if any, performance indicators are used to monitor health (performance), and assessment and problem reporting info (feedback) regarding health of the implementation of the process. For items that are not applicable due to work scope or version of NQA utilized by the site (e.g., NQA-1-2004 with addenda through 2007), then state that in the Basis section of the table for that item and mark the ‘N/A’ button for that item.





Provide a listing of **Supporting Documents** that were used in providing Basis and Score.

Complete **Score** with a performance color for the Previous Period (if available) and the Current Period.

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





Quality Program Criteria

A performance color key is provided below with equivalent numerical scoring “grade” for each element and guidance that may be used for determining the score color. This evaluation is somewhat subjective, a descriptive “basis” should be provided for the “score”.

Score Color	Number	Score guidance
 Excellent	4	Process, plans or procedures established to address criteria. Assessment evidence demonstrates that system in place is programmatically compliant and has been effectively implemented. Previously identified issues have been corrected and incorporated into the program (feedback and continuous improvement).
 Good	3	Process, plans or procedures established to address criteria. Assessment evidence demonstrates that system in place is programmatically compliant; however, implementation concerns require attention. Concerns have been addressed in the corrective action program but have not yet been resolved.
 Investigate	2	Process, plans or procedures established to address criteria; however, no assessment evidence is available to demonstrate compliance or process implementation, or evidence demonstrates a continuing legacy concern that has not been addressed.
 Define Actions	1	Process, plans or procedures are not established to address criteria. Assessment evidence shows that the process, plans or procedures are programmatically inadequate or process, plans or procedures are established to address criteria; however, significant quality issues (e.g. PAAA) were identified during the period.

Criterion Score

A Score performance color should then be entered for each of the 10 CFR 830 criteria and DOE O 414.1D supplementals. The color shall be based on the average of the equivalent numerical values for the performance colors of each element of the criteria compared to the range provided below. Do not include criteria in the scoring average that are not applicable to the scope of work or version of NQA utilized by the site (e.g., NQA-1-2004 with addenda through 2007).

Average of Element Numbers	Summary Score Color	Example:
3.5 – 4.0	 Excellent	Score Item Score Sum
2.75 – <3.5	 Good	   
2.0 – <2.75	 Investigate	=3 =2 =2 Avg = (3+2+2)/3= 2.33
Below 2.0	 Define Actions	