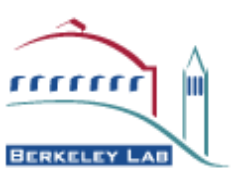# Effectiveness Review Overview

Theresa Triplett
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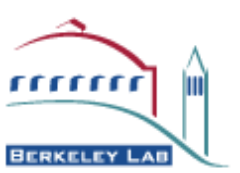**Office of Contractor Assurance**

Objectives

Discuss:

- What is an Effectiveness Review
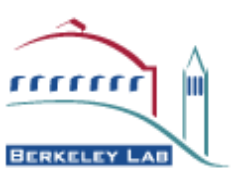
- How to perform an Effectiveness Review

A validation that a corrective action:

- *was implemented as designed*

- *addresses the root cause(s) of the incident / finding*

- ***and** prevents recurrence of similar, future events / findings*

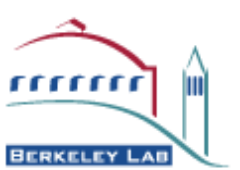# What is an Effectiveness Review

Key Points

- Performed for high risk issues and other risk level issues as determined by management

- Typically completed 6-12 months after the issue is closed

- Immediate and Compensatory corrective actions are not included in the effectiveness review

- Team composition requires an independent party
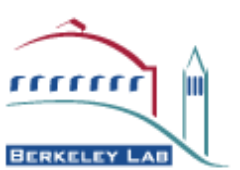
What is an Effectiveness Review

To scope the Effectiveness Review Correction Actions, first determine

- Have conditions changed since implementation of the corrective actions, such as processes, controls and software solutions?

- If so, are the corrective actions relevant to the new environment? Or does the scope of the Effectiveness Review need to be adjusted?

What is an Effectiveness Review

Effectiveness Reviews may be scoped and performed using one or more of the following methodologies.

Methodology #1

An Effectiveness Review of individual corrective actions implemented to address a single incident or assessment.

Methodology #2

An Effectiveness Review of sequential corrective actions implemented to address a single incident or assessment.

Methodology #3

An Effectiveness Review of corrective actions implemented to address a single area of exposure.

Note: A combination of methodologies may be appropriate

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Effectiveness Review Team Roles & Responsibilities

1. Planning and scheduling review activities

2. Developing lines of inquiry

3. Gathering, analyzing and maintaining objective evidence

4. Documenting and reporting effectiveness conclusions

5. Recommending additional corrective actions, as necessary

Performing An Effectiveness Review

- Preparation
   a) Charter
   b) Binder (Gathering the objective evidence)

- Kick-Off Meeting
   a) "Just-in-Time" Training

- Touch Base Meeting

- Factual Accuracy & Quality Assurance Reviews

- Report Distribution

Performing An Effectiveness Review

Resources:

- Assessment Report

- Root Cause Analysis / Extent of Condition Report

- List of implemented Corrective Actions

- Supporting Documentation (Subsequent ORPS / PAAA NTS Reports, Assessments, Lessons Learned)

- Effectiveness Review Methodology, Analysis and Report Templates

- LBNL/PUB 5519 (1), Issues Management Program Manual

Performing An Effectiveness Review

- Review causal analysis report and/or the assessment report

- Review ORPS / NTS reports

- Obtain objective evidence that the corrective actions was implemented and will prevent recurrence, such as:
  a) policy / procedure documentation
  b) testing or observation of work performed
  c) supplement / subsequent Assessment reports

- Interview applicable individuals:
  a) those responsible for implementing the corrective action
  b) those responsible for adhering to the corrective action
  c) those responsible for overseeing compliance

Effectiveness Review Methodology *(Lines of Inquiry)*

a) Document Review
b) Interviews
c) Observation of work performed (as applicable)

METHODOLOGY	EVALUATION
Root Cause:	
Corrective Action #	
DOCUMENT REVIEW	
Document #1	
Document #2	
Document #3	
OBSERVATION OF WORK	
Work Process	
PERSONNEL INTERVIEWS	
Name of Interviewee #1	
Name of Interviewee #2	
Name of Interviewee #3	
Name of Interviewee #4	

Effectiveness Review Analysis

a) Does the corrective action address the root cause?

b) Does the corrective action prevent recurrence of similar issues due to similar causes?

c) Has the corrective action been implemented as intended?

d) Does the corrective action demonstrate endurance and sustainability?

e) Has the corrective action introduced negative unintended consequences?

f) Has the corrective action improved the program/process performance?

Root Cause:				
Corrective Action #				
CORRECTIVE ACTION EFFECTIVENESS				
CRITERIA	YES	PARTIALLY	NO	JUSTIFICATION
1. Does the corrective action address the root cause?				
2. Does the corrective action prevent recurrence of similar conditions due to similar causes?				
3. Has the corrective action been implemented as intended?				
4. Does the corrective action demonstrate endurance and sustainability?				
5. Has the corrective action introduced negative unintended consequences?				
6. Has the corrective action improved the program/process performance?				

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Effectiveness Review Report

Effectiveness Review Report for the
{Name Of Effectiveness Review Title}
Corrective Actions

Description of Incident/Finding:

Effectiveness Review Conclusion:

Corrective Action #	Corrective Action Description	Effective			Justification
		Yes	Partially	No	

Recommended Corrective Actions:

Rating Definitions:

- **Effective *(Yes)***—Corrective actions are implemented as intended, have addressed the causes of the issue / finding, will prevent recurrence of the issue/ finding and demonstrates sustainability. No new corrective actions are recommended.

- **Partially Effective *(Partially)*** —Corrective actions are implemented as intended, and have partially addressed the causes of the issue / finding, but does not prevent recurrence or demonstrate sustainability. Revised or new corrective actions are recommended to enhance the effectiveness of the correction action.

- **Ineffective *(No)***—Corrective actions were not implemented as intended, does not address the causes of the issue / finding, does not effectively prevent recurrence of the issue / finding, and does not demonstrate sustainability. New corrective actions are recommended to enhance the effectiveness of the corrective actions.

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Final Key Points

- Responsible line management performs a factual accuracy review prior to distributing the report

- OCA performs a quality assurance review of the effectiveness review report prior to distribution

- Corrective actions that are not effective require additional corrective action