



UNITED STATES  
NUCLEAR REGULATORY COMMISSION  
WASHINGTON, D.C. 20555-0001

(STC-14-101, October, Other, Self-Assessments)

October 16, 2014

ALL AGREEMENT STATES

RECOMMENDATION FOR SELF-ASSESSMENTS (STC-14-101)

**Purpose:** To encourage Agreement State programs to implement a self-assessment program as a tool to review and audit radiation control programs.

**Background:** In response to the 2007 Government Accounting Office (GAO) covert operation wherein GAO posed as a legitimate company and applied for and received an U.S. Nuclear Regulatory Commission (NRC) materials license using falsified information, the GAO recommended for consistency and effectiveness that NRC should consider establishing agencywide self-assessments and audits for the materials licensing and inspection programs. Subsequently, NRC Headquarters has issued its own Policy and Procedure to conduct self-assessments.

**Discussion:** On January 23, 2014, The Office of Federal State Materials and Environmental Programs (FSME) issued Policy & Procedure (P&P) 6-11, Rev. 0, "Conducting Self-Assessments" (ML13212A347). The P&P provides a framework for planning, conducting, and documenting internal program self-assessments, as well as, monitoring the effectiveness of corrective actions.

The NRC encourages Agreement State Programs to perform self-assessments as a management tool to assist you in reviewing and auditing your own program. A self-assessment is an activity that compares existing organizational performance to an established standard to objectively verify processes. Periodic self-assessments not only report non-conformances and corrective actions, but also highlight areas of good practices. Use of self-assessments is voluntary. The NRC encourages NRC Regions and Agreement States to conduct self-assessments against Integrated Materials Performance Evaluation Program (IMPEP) performance criteria. However, IMPEP teams will not evaluate the effectiveness of those assessments.

If you have any questions regarding this communication, please contact me at 301-415-3340 or the individual named below:

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