

Management System: Quality Assurance and Oversight

Subject Area: Quality Oversight and Assessment

Management System Owner: John Sattler

Point of Contact: Ken Armstrong

Issue Date: 8-9-12

CBC MS Revision: 0

1.0 Introduction

This Subject Area describes how the EMCBC organization and management meets the requirements of EM-QA-001 Criterion 9 – Assessment/Management Assessment, EM-QA-001 Criterion 10 – Assessment/Independent Assessment and DOE Order 226.1B, Implementation of Department of Energy Oversight Policy.

Criterion 9 – Assessment/Management Assessment

Management assessment is a method used to achieve continuous improvement and/or to identify barriers that hinder improved performance. Managers periodically evaluate the performance of their organizations in comparison with their mission, responsibilities, and priorities.

Management assessments include verifying that roles and responsibilities are known and understood, processes and procedures are effectively implemented, appropriate measurement systems are in place and functional, evidence of continuous improvement is readily available, procedures are being complied with, organizational activities are consistent with the mission, and customer requirements and expectations are satisfied. EMCBC Management Expectations associated with Management Assessments consist of:

- Management assessments are one of the means for identifying areas needing correction and/or improvement.
- Management assessments are performed by personnel knowledgeable in the subject area and trained in assessment techniques.
- Managers within organizations assess their organization's performance with regards to such things as safety, quality, mission completion, and performance against technical or financial goals and objectives.
- As part of the management assessment process, the EMCBC personnel ensure their Quality Assurance (QA) programs are assessed to verify compliance and effectiveness of the quality requirements implementation at a frequency such that all elements of the QA program are addressed at least triennially.
- Results of management assessments are documented, and deficiencies identified and tracked with corrective actions taken.
- Management assessments use guidance provided in DOE G 414.1-1B Management Assessment and Independent Assessment Guide.

Criterion 10 – Assessment/Independent Assessment

Independent assessments involve review, evaluation, inspection, test, check, surveillance, or audit to determine and document whether items, processes, systems, or services meet specified requirements and perform effectively. An independent assessment is conducted by individuals within the organization or from an external organization that are independent from the work or process being evaluated. EMCBC Management Expectations associated with Independent Assessments consist of:

- Organizations develop and implement a comprehensive plan and schedule to independently assess and conduct audits of reporting organizations against technical, programmatic, administrative, and quality program requirements.
- As part of the independent assessment process, the EMCBC ensures that federal and contractor offices QA programs are compliant and effective at a frequency such that all elements of the QA program are addressed at least triennially.
- Independent assessments are performed by personnel knowledgeable in the subject area and trained/qualified in assessment techniques.
- Results of independent assessments/audits are documented; deficiencies tracked, corrective action plans reviewed and corrective actions verified.
- Independent assessments use guidance provided in DOE G 414.1 1B, Management Assessment and Independent Assessment Guide.
- Assessments are conducted using established Criteria Review and Approach Documents (CRADs) with lines of inquiry as listed below.

2.0 Contents

Procedures	Procedure Content
1. Management Assessment and FacRep Oversight	<ul style="list-style-type: none">• Defines the process for conducting Management Assessments of the EMCBC and Small Site Organization as well as Facility Representative day-to-day oversight.
2. Independent Assessment	<ul style="list-style-type: none">• Defines the process for conducting Independent Assessments of the EMCBC Organization, Field Elements and EMCBC Contractors.
3. PD-361-02, Facility Representative Program	<ul style="list-style-type: none">• Defines duties, responsibilities, authorities, organizational interfaces, communications, reporting requirements and general training and qualification of the EMCBC Cadre Facility Representatives and select DOE EMCBC and Small Site management officials.
Procedure 1 – Document Review	<ul style="list-style-type: none">• Applies to all document reviews requested by the DOE Federal Project Director (or Designee)

Procedures	Procedure Content
	<ul style="list-style-type: none"> Documents can be authored by either DOE or the Contractor and are submitted for review and comment by knowledgeable personnel, stakeholders, or other personnel
Procedure 2 – Stop Work Orders	<ul style="list-style-type: none"> Defines the process for the U. S. Department of Energy employees to direct that unsafe work be stopped. This procedure also defines provisions for the restart of work.

3.0 Exhibits/Forms

- [Management Assessment Schedule](#)
- [Independent Assessment Schedule](#)
- [Independent Assessment Plan Format](#)
- [CRAD Format](#)
- [Attendance Sheet Format](#)
- [Assessment Report Format](#)
- [Management Assessment / FacRep Daily Report](#)
- [Management Assessment / FacRep Issue Form](#)
- Criteria Review and Approach Documents (CRADs)
 - [Quality Assurance](#)
 - [Integrated Safety Management](#)
 - [Environmental Management](#)
 - [Radiological Protection](#)
 - [Conduct of Operations](#)
 - [Safety Culture](#)

4.0 Related Information

None

5.0 Requirements

[10 CFR 830, Subpart A](#), *Quality Assurance Requirements*

[DOE O 414.1D](#), *Quality Assurance*

[EM-QA-001](#), *EM Quality Assurance Program (QAP)*

[DOE Order 226.1B](#), *Implementation of Department of Energy Oversight Policy*.

6.0 Definitions

See Implementing Procedures.