

# CCP-QP-018

Revision 8

## CCP Management Assessment

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Larry Porter

PRINTED NAME

APPROVED FOR USE

RECORD OF REVISION

Revision Number	Date Approved	Description of Revision
2	07/15/2002	Placed in CCP-QP-010 format, and numerous changes throughout the procedure.
3	09/11/2003	Clarified CCP Project Manager participation in the Management Assessment process. Removed the requirement to separately sign the checklist and plan, and made the checklist optional.
4	12/03/2004	Added management assessment schedules and notifications to the list of QA records in Section 5.0. Changed CCP Project Manager to CCP Manager. Editorial changes throughout document. Updated references.
5	02/27/2006	In accordance with WTS Management direction, added WTS PAAA Coordinator to distribution of reports, and require assessment actions to be tracked in the WTS Commitment Tracking System.
6	11/16/2006	Revised to implement the Waste Isolation Pilot Plant Hazardous Waste Facility Permit requirements resulting from the Section 311/Remote-Handled (RH) Permit Modification Request (PMR). In addition, includes some editorial and format improvements.
7	10/01/2009	Revised in response to CAR-CCP-0004-09 to clarify the process for tracking management assessment actions in the Washington TRU Solutions (WTS) Commitment Tracking System, and to add Central Characterization Project (CCP) Safety to the review of management assessments whose scope includes an evaluation of safety.
8	06/08/2010	Revised in response to MA-CCP-0026-09, to clarify the process for entering action items into the Washington Tru Solutions Commitment Tracking System, and to improve consistency in reporting and classifying assessment results. Also changed language in the Purpose and Scope sections to align with WTS Management Policy 1.20, <i>Management Assessments</i> .

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## 1.0 PURPOSE

This procedure establishes the process for performing management assessments.

### 1.1 Scope

This procedure provides instruction for the planning, performance, and reporting of management assessments including follow-up within the Central Characterization Program (CCP).

## 2.0 REQUIREMENTS

### 2.1 References

#### Baseline Documents

- DOE/CBFO-94-1012, *U.S. Department of Energy, Carlsbad Field Office Quality Assurance Program Document*
- CCP-PO-001, *CCP Transuranic Waste Characterization Quality Assurance Project Plan*
- CCP-PO-002, *CCP Waste Certification Plan*

#### Referenced Documents

- CCP-QP-005, *CCP TRU Nonconforming Item Reporting and Control*
- CCP-QP-006, *CCP Corrective Action Reporting and Control*
- CCP-QP-008, *CCP Records Management*

### 2.2 General Requirements

2.2.1 Managers at every level will periodically assess the performance of their organization to determine that work is performed within the scope of the project to identify problems, unresolved issues, and evaluate the implementation of programs within CCP. Management assessments should also address the adequacy of resources to achieve the organization's goals and objectives.

2.2.2 The management assessment should include an introspective evaluation to determine if the entire integrated management system effectively focuses on meeting strategic goals.

2.2.3 Managers will retain overall responsibility for management assessments. Direct participation by senior management is essential to the success of the process because management is in the position to view the organization as a total system.

- 2.2.4 Management assessment will be conducted regularly and reported, at least annually, to an identified senior management level with sufficient authority to affect corrective measures, as necessary.
- 2.2.5 Management assessments will be comprehensive enough to keep management informed of the status of CCP Programs and the effectiveness of the implementation, as well as other aspects discussed in this procedure.
- 2.2.6 Processes being assessed should also include:
- Strategic planning
  - Organizational interfaces
  - Cost control
  - Use of performance indicators
  - Staff training and qualifications
  - Supervisory oversight and support
- 2.2.7 Management assessment results will be used as input to the continuous improvement process.

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**NOTE**

Examples for a management assessment plan/scope, checklist, and report are included in Attachment 1, Management Assessment Report, Attachment 2, Management Assessment Checklist, and Attachment 3, Management Assessment Plan/Scope.

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2.3 Planning and Preparing for Management Assessments

- 2.3.1 The management assessment leader will develop and document a plan/scope for each management assessment.
- 2.3.2 The plan/scope will be consistent with the format of the example shown in Attachment 3.

2.4 Performing Assessments

- 2.4.1 Management assessments should be performed using a written checklist related to the activity being assessed. Otherwise the elements to be included in the scope of the management assessment will be included in the Management Assessment Plan/Scope.
- 2.4.2 The Management Assessment checklist, if used, will be consistent with the format of the example in Attachment 2.

## 2.5 Reporting Assessment Results

2.5.1 A Management Assessment Report will be prepared and issued to the management of the assessed organization.

2.5.2 Management assessment reports will include discussion of the assessment results, as well as details of all deficiencies, other conditions requiring resolution, and observations that are identified during the assessment. Results will also include discussion of all actions taken to resolve such conditions. Programmatic strengths identified during the assessment will also be reported.

2.5.3 Management Assessment results will be classified as follows for purposes of reporting:

- Deficiency – A condition adverse to quality (CAQ) or nonconformance as defined in CCP-QP-006, *CCP Corrective Action Reporting and Control*, or CCP-QP-005, *CCP TRU Nonconforming Item Reporting and Control*, respectively.
- Other Conditions Requiring Resolution (OCRR) – A condition that requires resolution but does not meet the definition of a deficiency. This includes but may not be limited to safety issues and issues for which there are no clear requirements.
- Observation – A condition, that if not controlled, could result in a CAQ.
- Programmatic Strength – A condition that affects achievement of organizational objectives in a positive way.

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### NOTE

CCP Management Assessments may also be reported using the Management Assessment Tool from WTS Quality Assurance Management Assessment Toolbox available through the Intranet ([http://bellview/wqnra/ma\\_toolbox.htm](http://bellview/wqnra/ma_toolbox.htm)).

The completed Management Assessment Tool is a combined checklist and Management Assessment Report.

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2.5.4 The Management Assessment Report will be consistent with the format of the example in Attachment 1, unless the Washington Tru Solutions (WTS) Management Assessment Tool is used instead.

## 2.6 Status of Open Conditions Requiring Resolution

2.6.1 The status of open OCRRs will be tracked by entering them in the WTS Commitment Tracking System (CTS).

### 3.0 RESPONSIBILITIES

#### 3.1 CCP Quality Assurance

3.1.1 Works with CCP Management to determine an appropriate schedule for CCP management assessment(s). This schedule shall be included as part of the overall audits and assessments schedule for the CCP.

3.1.2 Assigns management assessment numbers.

3.1.3 Reviews and signs Management Assessment Reports to identify any Quality Assurance (QA) Program deficiencies.

#### 3.2 Assessment Leader (Manager)

3.2.1 Develops Management Assessment Plan(s)/Scope(s).

3.2.2 Develops Management Assessment Checklist(s), if used,

3.2.3 Performs management assessments, and prepares, signs, and dates Management Assessment Report(s).

3.2.4 Ensures that the management assessment number is included as part of each record listed in Section 5.0.

3.2.5 Notifies the organization to be assessed prior to conducting the management assessment if the organization to be assessed is outside the area of responsibility of the manager performing the management assessment (such as assessment of a remote facility). This notification may be by letter or memorandum.

3.2.6 Forwards a copy of the Management Assessment Report to the CCP Manager, CCP QA, the Site Project Manager (SPM), the CCP Records Center, the WTS Price Anderson Amendments Act (PAAA) Coordinator, and other management as appropriate.

#### 3.3 CCP Safety

3.3.1 Reviews and approves those Management Assessment Reports whose scope includes an evaluation of safety, and issues safety memoranda or lessons learned as appropriate.

#### 3.4 CCP Manager

3.4.1 Participates in the management assessment process by preparing and issuing an annual Management Assessment Summary Report.

4.0 PROCEDURE

**CCP QA**

- 4.1 Prepare and publish a schedule of the CCP project management assessments.

**Assessment Leader (Manager)**

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**NOTE**

Management Assessment Reports are numbered MA-CCP-XXXX-YY, where XXXX is a sequential number and YY is the last two digits of the calendar year in which the management assessment number was assigned.

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- 4.2 Obtain a number which comes from an electronic Management Assessment Log, from CCP QA.
- 4.3 Confirm that the scope of the management assessment is consistent with the requirements of this procedure.
- 4.4 Develop a Management Assessment Plan/Scope (for each individual assessment) (See example in Attachment 3).
- 4.5 Develop Management Assessment Checklist(s) (See example in Attachment 2), or include assessment elements in the Management Assessment Plan/Scope.
- 4.6 **IF** the organization to be assessed is outside the area of responsibility of the manager performing the management assessment (such as assessment of a remote facility), **THEN** notify the organization that is going to be assessed by memorandum or letter.
- 4.7 Conduct the assessment.
- 4.8 Identify the problems that hinder the organization from achieving its objectives.
- 4.9 **IF** conditions adverse to quality are noted during the course of this management assessment, **THEN** initiate a Corrective Action Report (CAR) in accordance with CCP-QP-006, *CCP Corrective Action Reporting and Control*.
- 4.10 **IF** nonconforming conditions are identified during this management assessment, **THEN** initiate a Nonconformance Report (NCR) in accordance with CCP-QP-005, *CCP TRU Nonconforming Item Reporting and Control*.

- 4.11 **IF** other conditions requiring resolutions are identified during this management assessment (other than CARs and NCRs), **THEN** determine the actionee for each such condition (e.g., the Responsible Manager).

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**NOTE**

Safety issues must be brought to the attention of management as soon as they are identified. If they cannot be resolved immediately, interim measures (e.g., physical barriers) must be implemented to protect personnel until they can be corrected.

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4.11.1 Discuss the following with each actionee:

- The condition identified in the management assessment
- The action(s) required to resolve the condition
- The due date for completing the action(s)

4.11.2 **IF** the condition can be resolved (and the actions verified) while the management assessment report is still being finalized, **THEN** state in the final report that the condition was corrected during the assessment, **AND** list the actions in the “Actions Taken” section of the final report.

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**NOTE**

It is not the intent to track other assessment results such as Recommendations or Observations in WTS CTS; only those actions in response to conditions requiring resolution need to be entered into CTS.

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4.11.3 **IF** the actions to resolve a condition cannot be completed and verified while the management assessment report is being finalized, **THEN** arrange for the action to be entered into the CTS using the information in Step 4.11.1, above. The actual data entries are made by CCP administration personnel (e.g., the CCP secretary) with access to CTS.

4.11.4 List each such action in the “Results” section of the final report, along with the CTS tracking number.

- 4.12 Print, sign and date the completed Management Assessment Report and provide to CCP QA for review and evaluation.

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**NOTE**

CCP QA reviews and signs each Management Assessment Report prior to issuance.

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**CCP QA**

- 4.13 Review, evaluate, and sign the Management Assessment Report to identify any program deficiencies .
- 4.14 Transmit the Report to the CCP Manager for identification and tracking of improvement opportunities as appropriate, and as input for development of the annual Management Assessment Summary Report.

**Assessment Leader (Manager)**

- 4.15 **IF** the scope of the Management Assessment Report includes an evaluation of safety,  
**THEN** provide to CCP Safety for review and evaluation.

**CCP Safety**

- 4.16 Review, evaluate, and sign the Management Assessment Report for any safety improvement opportunities.
- 4.17 **IF** safety improvement opportunities are identified,  
**THEN** issue a safety memorandum or lessons learned to appropriate organizations.

**Assessment Leader (Manager)**

- 4.18 Within 30 working days of completion of the assessment, print, sign, date and submit a copy to the SPM, CCP QA, the CCP Manager, CCP Safety, the WTS Regulatory Compliance Coordinator and other management, as appropriate, of the Management Assessment Report that documents the results, **AND** submit record copy to CCP Records.

**CCP Manager**

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**NOTE**

The CCP Manager receives copies of all CCP Management Assessment Reports. As the senior manager for CCP, the CCP Manager directly participates in the management assessment process.

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- 4.19 Prepare an annual Management Assessment Summary Report.
- 4.20 Review all management assessment activities conducted over the previous year to determine the effectiveness of the assessment process.

- 4.21 Determine if there are any cross-cutting project issues needing to be addressed.
- 4.22 Issue an annual Management Assessment Summary Report.
- 4.23 Submit a copy of the annual Management Assessment Summary Report to CCP Records.

## 5.0 RECORDS

5.1 Records generated during the performance of this procedure are maintained as QA records in accordance with CCP-QP-008, *CCP Records Management*. The records are the following:

### 5.1.1 QA-Nonpermanent

- [A] Management Assessment Schedule
- [B] Management Assessment Notifications (letter, memorandum, email)
- [C] Management Assessment Report(s)
- [D] Management Assessment Checklist(s), if applicable
- [E] Management Assessment Plan/Scope
- [F] Management Assessment Summary Report
- [G] Management Assessment Log

Attachment 1 – Management Assessment Report Format (Example)

**Management Assessment Number:** \_\_\_\_\_

**Date Initiated:** \_\_\_\_\_

**Assessment Type:** Management

**Project or Program:** Central Characterization Project

**Basis for Assessment:** (List the requirements governing this assessment).

**Purpose:** Describe why the assessment is being performed.

**Background:** If necessary, provide information leading to the need to perform the assessment.

**Results:** Describe what was actually done during the assessment and include all deficiencies, OCRRs, observations and programmatic strengths. Where appropriate include the requirement violated. Also include any actions that are necessary to resolve deficiencies, OCRRs and observations, and reference CTS tracking number where applicable.

**Actions Taken/ Corrected During Assessment:** \_\_\_\_\_

Assessment Leader: \_\_\_\_\_ / \_\_\_\_\_  
*Print/Sign* *Date*

CCP QA Review: \_\_\_\_\_ / \_\_\_\_\_  
*Print/Sign* *Date*

CCP Safety Review:(if applicable) \_\_\_\_\_ / \_\_\_\_\_  
*Print/Sign* *Date*

Attachment 2 – Management Assessment Checklist (Example)

<b>CCP Management Assessment Checklist</b>					
<b>Assessment Number:</b>					<b>Date:</b>
<b>Attribute</b>	<b>Ref. No.</b>	<b>SAT</b>	<b>UNSAT</b>	<b>N/A</b>	<b>Comment</b>

Attachment 3 – Management Assessment Plan/Scope (Example)

**Management Assessment Plan/Scope**  
**(*Management Assessment Number* MA-CCP-XXXX-YY)**

Management Assessment Plan

Management Assessment Scope

Elements to be Assessed

N/A if checklist is prepared. Otherwise, list the elements to be assessed.

Deliverables:

- Management Assessment Plan/Scope
- Completed Management Assessment Checklists (if prepared)
- Management Assessment Report