

# WP 15-GM1000

Revision 3

## Management Assessments

Management Control Procedure

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APPROVED FOR USE

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## INTRODUCTION<sup>1</sup>

This procedure provides instructions for planning, performing, and reporting management assessments, and conducting follow-up activities when required. It implements the requirements of WP 13-1, Sections 1.1.9, 2.1.1, and 3.1.

Managers at every level shall periodically assess their organization's performance and functions to determine that work is performed within the scope of the project to identify problems and unresolved issues, and to evaluate the implementation of programs, procedures, hazard controls, and quality requirements so that improvements can be made. Management assessments shall also address the adequacy of resources to achieve the organization's goals and objectives. The management assessment should also include an introspective evaluation to determine if an integrated management program is being implemented and if it effectively achieves safe performance which meets customer requirements and strategic goals.<sup>2</sup>

Managers have responsibility for assessments of programs, processes, and organizations under their cognizance, including subcontractor statements of work, interface agreements with waste generator host sites, and conduct of operations. Direct participation by all levels of management is essential to the success of the assessment program because management is in the position to view the organization as a total system. Therefore, participation by each WTS/WRES department is required at least annually.<sup>2</sup>

Management assessments shall accomplish the following goals:

- Determine the effectiveness of programs, processes, interface agreements, scopes of work and conduct of operations to ensure that customer requirements and expectations are being met.
- Identify and correct problems, issues, and hazards that hinder the organization from achieving its objectives.
- Use results as input to the organization's continuous improvement process and Lessons Learned Program.<sup>2</sup>

Lines of inquiry will be followed, either through use of an assessment checklist or as issues are identified that need additional insight.

Assessments will also be conducted that cover processes that cross functional areas of responsibilities. Affected managers in different departments will participate in the assessments.

Management assessments should focus on the identification and resolution of process concerns, issues, interfaces, conduct of operations, and hazard identification.<sup>2</sup>

Strengths and weaknesses affecting the achievement of organizational objectives should be identified so that meaningful action can be taken to improve quality. Opportunities for improvement and exemplary practices noted in management

assessment reports will be provided to other organizations within WTS to share lessons learned.

Assessments can provide information on:

- Compliance with DOE Directives included in the contract
- Strengths and weaknesses of an organization's safety management system
- Clear roles, responsibilities and accountabilities
- Conduct of Operations
- Understanding of authorization basis, Technical Safety Requirements and reporting requirements
- Opportunities for improvement

Performance of this procedure generates the following record(s), as applicable. Any records generated are handled in accordance with departmental Records Inventory and Disposition Schedules.

- Management assessment reports for each WTS/WRES department
- Annual organization/department assessment schedule
- Annual organization/department roll-up reports

## REFERENCES

### BASELINE DOCUMENTS

- WP 13-1, Washington TRU Solutions LLC Quality Assurance Program Description
- DOE G 414.1-1A, *Management Assessment and Independent Assessment Guide*

### REFERENCED DOCUMENTS

- WP 12-ES3918, Reporting Occurrences in Accordance with DOE Order 231.1A
- WP 04-IM1000, Issues Management Processing of WIPP Forms
- MC 1.9, Senior Management Corrective Action Review Board

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**PERFORMANCE**

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**NOTE**

All steps are performed by the Cognizant Manager or designee, unless otherwise noted. Tasks (e.g., data collecting) may be delegated. However, the manager has the primary responsibility for performing the assessment and determining the conclusions.

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**NOTE**

Managers are encouraged to use guidance available in the [Management Assessment Toolbox](#), including templates which may be modified or used as they appear, to document the assessment. (The [Management Assessment Toolbox](#) is available via a link from <http://bellview/> and on the Technical Training home page.)

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**NOTE**

General Manager's Office (GMO) staff can determine the span of reporting required per this procedure for their organizations. Either a single assessment schedule and roll-up report or additional breakdowns of departments/sections can be transmitted, as long as all WTS functions are covered.

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**NOTE**

Initial and biennial refresher training is required for management assessment participants.

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**1.0 PLANNING MANAGEMENT ASSESSMENTS**

1.1 GMO Staff Manager, perform the following:

- 1.1.1 Plan the management assessments to be performed by the organization/department during each calendar year, focusing on those areas which present the greatest risk for failure or potential for improvement.
- 1.1.2 Plan cross-functional management assessments to be performed in coordination with other departments. (Managers may use personnel from other WTS/WRES departments or CCP sites to participate in a management assessment.)
- 1.1.3 Plan for assessments to take an introspective, self-evaluative element (What/how should things be?) rather than focusing on compliance alone.

- 1.1.4 Consider the following lines of inquiry or checklist items to establish priority areas for assessment:
- Worker health and safety (injuries, deaths, exposures, hazard identification and controls)
  - Regulatory compliance and liability
  - Clear accountability for respective program activities
  - Business efficiency/productivity
  - Complexity of the involved processes and interfaces
  - Economic costs, risks, and uncertainties
  - Performance measures, leading indicators, and trends
  - Success of process interfaces across functional areas, both within the department and across department lines
  - Success of processes to systematically collect, evaluate, and communicate relevant operating experience
  - Management success in developing a just culture and safe behaviors to reflect safety as an overriding priority
  - Compliance with Authorization Basis

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**NOTE**

The planning process may use and take credit for existing management reviews and assessments which are relevant to the assessment criteria described in this procedure.

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- 1.1.5 Include the following elements as appropriate:
- Strategic planning
  - Organizational interfaces, including subcontractor and host site interfaces
  - Cost control
  - Use of performance indicators
  - Staff training and qualifications
  - Conduct of Operations

- [Safe work processes](#)
  - [Supervisory oversight and support](#)
  - [Accountability for program components<sup>2</sup>](#)
- 1.1.6 Schedule assessments that include analysis of collective results of lower-level self-assessments, such as workplace inspections and post-job reviews.
- 1.1.7 Schedule at least one management assessment per organization/department per year.
- 1.1.8 Assign a unique number to each assessment as follows: MA-XXX-YY-ZZZ, where XXX is the organization/department, YY is the year, and ZZZ is the sequential number for each assessment. Cross-functional assessments will be numbered by only one of the affected organizations.
- 1.1.9 Ensure that the assessments involve managers at all levels within the organization.
- 1.1.10 Enter a commitment to the Commitment Tracking System (CTS) that requires copies of approved assessment schedules for each year be provided to the General Manager's Office by January 31 of the year the assessment will be performed.
- 1.1.11 Transmit a copy of the approved assessment schedule (and mid-year schedule revisions when revised) to the General Manager's Office and Performance Assurance by January 31 of the year the assessment will be performed.
- 1.1.12 Performance Assurance will monitor management assessment progress and periodically report the status of management assessment performance to the General Manager's Office.
- 1.2 Cognizant Manager, plan individual management assessments.
- 1.2.1 Select the management assessment team. (Team members should be knowledgeable of the area, including cross-functional teams, being assessed and understand the assessment process and goals.)
- 1.2.2 Consult the [Management Assessment Toolbox](#) for planning guidance and templates.

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**NOTE**

Apply principles for conducting the assessment learned in initial/refresher training.

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## 2.0 CONDUCTING MANAGEMENT ASSESSMENT

2.1 Take a no-fault attitude when conducting the management assessment.

2.2 Consider the following when evaluating processes:

- Employee knowledge, motivation, and morale
- The existence of an atmosphere of creativity and improvement
- The adequacy of human and material resources
- The amount of mutual trust and communication between workers and organizations
- Accurate organization charts and clear organizational accountabilities<sup>2</sup>

2.3 Perform the management assessment, using (for example) document review, walk-around, direct observation of work, and interviews with employees.

## 3.0 REPORTING AND FOLLOW-UP

3.1 If conditions are identified during a management assessment that require reporting in accordance with WP 12-ES3918, follow the requirements of that procedure for occurrence reporting.

3.2 Document the following on a WIPP Form in accordance with WP 04-IM1000:

- Conditions adverse to quality
- Conditions adverse to safety and newly identified hazards
- Other issues as appropriate

3.3 Prepare a report for each management assessment based on the lines of inquiry used.

3.3.1 Coordinate sensitive information with the Legal Counsel and Human Resources.

3.3.2 Include the following:

- Lines of inquiry used
- Summary of the area assessed
- Recommendations made
- Lessons learned
- Conclusions reached
- Follow-up actions (if applicable)

3.3.3 Consult the [Management Assessment Toolbox](#) for guidance and templates.

- 3.4 Provide a copy of the report to the Compliance Coordinator and Performance Assurance.
- 3.5 Break out results from reports that provide improvement opportunities and exemplary practices and transmit to the Lessons Learned Coordinator.
- 3.6 Distribute the report to affected individuals/organizations.
- 3.7 Enter items requiring tracking into the site CTS that are not tracked by WIPP Forms or Corrective Action Plans.
- 3.8 Assure that follow-up actions are completed (when applicable).
- 3.9 [GMO Staff Managers, prepare and submit an annual organization/department roll-up report that evaluates results gained from assessments completed during the year, including any new initiatives, recommendations, or goals for the upcoming year to the General Manager's Office and Performance Assurance, no later than February 28.](#)<sup>2</sup>
- 3.9.1 Analyze collective results of lower-level self-assessments (i.e., work place inspections and post-job reviews) as part of the preparation of the report.
- 3.9.2 Analyze collective results from performance trending data pertaining to the organization/department as part of the preparation of the report.