



Environmental Management Consolidated Business Center (EMCBC)

Subject: Management Assessment Procedure

IMPLEMENTING PROCEDURE APPROVED: (Signature on File)
EMCBC Director

ISSUED BY: Office of Logistics Management

1.0 PURPOSE

This procedure describes the roles, responsibilities, and processes to be used for implementing the Environmental Management Consolidated Business Center (EMCBC) /Service Level Agreement (SLA) Management Assessment Program. Department of Energy (DOE) Order 414.1D, Quality Assurance, Criterion 9 – Management Assessment, requires that Managers assess their management processes and identify and correct problems that hinder the organization from achieving its objectives and identify opportunities for continuous improvement.

This procedure has been written in a manner that will allow for DOE offices at SLA sites that are serviced by the EMCBC (i.e., those sites with an SLA) to also adopt this procedure. Nothing in the issuance of this document changes any requirements contained in any DOE Directives. In the event there is a conflict between this procedure and a DOE Directive, the DOE Directive takes precedence.

2.0 SCOPE

This procedure describes the processes used by the EMCBC and participating DOE Offices at SLA sites to plan, schedule, perform, document, and distribute the results of management assessment activities.

3.0 APPLICABILITY

The requirements contained within this document apply to all EMCBC and participating SLA site Federal or support contractor personnel and activities.

4.0 REQUIREMENTS AND REFERENCES

4.1 Requirements

4.1.1 DOE O 414.1D, *Quality Assurance*

4.1.2 PL-414-04, *EMCBC Quality Assurance Implementation Plan*

4.2 References

4.2.1 DOE G 414.1-1B, *Management and Independent Assessments Guide*

4.2.2 IP-230-01, *EMCBC Corporate Operating Experience / Lessons Learned Procedure*

4.2.3 IP-414-03, *EMCBC Corrective Action Procedure*

5.0 DEFINITIONS AND ACRONYMS

5.1 Management Assessment – A periodic introspective self-analysis, conducted by management, to evaluate management systems, processes, and programs ensuring the organization’s work is properly focused on achieving desired results, and planned performance.

6.0 RESPONSIBILITIES

6.1 EMCBC Director or SLA Site Senior DOE Official

6.1.1 Ensures that appropriate processes are in place to oversee effective execution of mission activities and implementation of EMCBC/SLA Management Assessments.

6.2 EMCBC Assistant Directors, SLA Site Assessment Manager, or assigned line management designee

6.2.1 Ensures that management assessments are conducted timely and that any identified deficiencies, lessons learned and further opportunities for improvement are appropriately documented and available for retention by the Record Management Program.

6.2.2 Verifies that the management assessment is conducted on schedule and documented as such.

7.0 GENERAL INFORMATION

7.1 Management Assessment Scope

7.1.1 Management assessments may be performed by individual line managers, an individual(s) designated by the line manager, or a group of line managers. The primary responsibility for management assessments resides with line managers because they are in the best position to identify barriers to performance improvement and to affect positive changes.

7.2 Training and Qualification

7.2.1 Management assessments shall be performed by line managers (or an individual(s) designated by the line manager) knowledgeable in the subject areas and trained in management assessment techniques.

7.3 Assessment Planning and Scheduling

7.3.1 Management assessment schedules are established annually but are flexible to meet operational and management needs. The EMCBC Director or SLA Site Senior DOE Official reviews and updates the management assessment schedule on a regular basis to ensure relevance.

7.4 Conduct of Assessments

7.4.1 Management assessments should focus on evaluating organizational performance including identifying any barriers that hinder the organization from achieving its objectives and identifying opportunities for continuous improvement.

7.4.2 No single method is appropriate for every situation. However, it is important that managers make the assessment a value-added process that would lead to improve organizational performance, safety, meeting customer expectations, and achieving mission goals in compliance with DOE requirements.

7.4.3 The level of formality and scope of management assessments can vary greatly. For example, at the informal extreme, a line manager, may evaluate the skills of personnel involved in the performance of a single work function and could document the need for additional training or staffing level adjustments through a simple memorandum. On the other hand, at the more formal extreme, an assessment team made up of senior line managers and line manager designees such as Subject Matter Experts or process consultants from outside the organization, could perform an extensive evaluation of an entire organization using checklists, interviews, document reviews, work observations, and evaluation by objective evidence, followed by the issuance of a formal report.

7.5 Documentation and Communication of Assessment Results

7.5.1 The line manager leading the Management Assessment documents the results of the assessment, deficiencies or opportunities for improvement, and corrective actions to prevent recurrence of similar anomalies. The management assessment report with documented corrective actions and lessons learned should be prepared using a template similar to that shown in Attachment A.

7.6 Corrective Action Development and Implementation

7.6.1 The responsible line manager shall develop and implement corrective actions for any deficiencies or areas for improvement identified during the management assessment.

7.6.2 The responsible line manager shall identify the causes of problems, and include prevention of recurrence as a part of corrective action planning for deficiencies.

7.7 Tracking Assessment Results to Closure

7.7.1 The responsible line manager shall use a tracking system to formally track areas for improvement. Deficiencies are processed and tracked per IP-414-03, EMCBC Corrective Action Procedure.

7.8 Continuous Improvement

7.8.1 Performance indicators and measures are one mechanism used to help line management identify adverse trends and promote improvements. This data is considered in a variety of management decisions, such as allocating resources, establishing goals, identifying performance trends and potential problems.

7.8.2 Through review of tracking and trending of completed corrective actions for adequately resolving the deficiencies identified during management assessment, the organization line management will improve the quality and performance of operations at the site.

7.8.3 EMCBC/SLA organization line managers are expected to share lessons learned obtained from management assessments. Lessons Learned are available to be used to improve the assessment process and other elements of the EMCBC/SLA operations. Responsible line managers are expected to provide Lessons Learned to the EMCBC/SLA Lessons Learned Coordinator for incorporation into the Lessons Learned Database per IP-230-01, EMCBC Corporate Operating Experience / Lessons Learned Procedure.

8.0 PROCEDURE

8.1 The EMCBC Director establishes a management awareness plan and schedule annually and reviews the schedule periodically for relevance.

8.2 EMCBC Assistant Directors, SLA Site Assessment Manager, or assigned line management designees (assessors) prepare for the Management Assessment by determining the scope of the assessment and by making notes or checklists to assist in the management assessment.

8.3 Assessors perform the management assessment and document issues that represent potential safety or quality concerns, process improvement opportunities, deviations from requirements, or any other issues worthy of management attention. A sample format is provided in Attachment A but any format (example email, database, etc.) that gathers the data listed above is acceptable..

8.4 Responsible Managers shall develop, document and track to completion corrective actions for issues that represent potential safety or quality concerns, process

improvement opportunities, deviations from requirements, or other issues worthy of management attention. Deficiencies shall be addressed per IP-414-03, EMCBC Corrective Action Procedure.

9.0 RECORDS MAINTENANCE

9.1 Records generated as a result of implementing this document are identified as follows and shall be managed in accordance with the EMCBC Organizational File Plan:

9.1.1 ADM 22-02-B1 Audit/Investigations – Routine Cases

10.0 FORMS USED

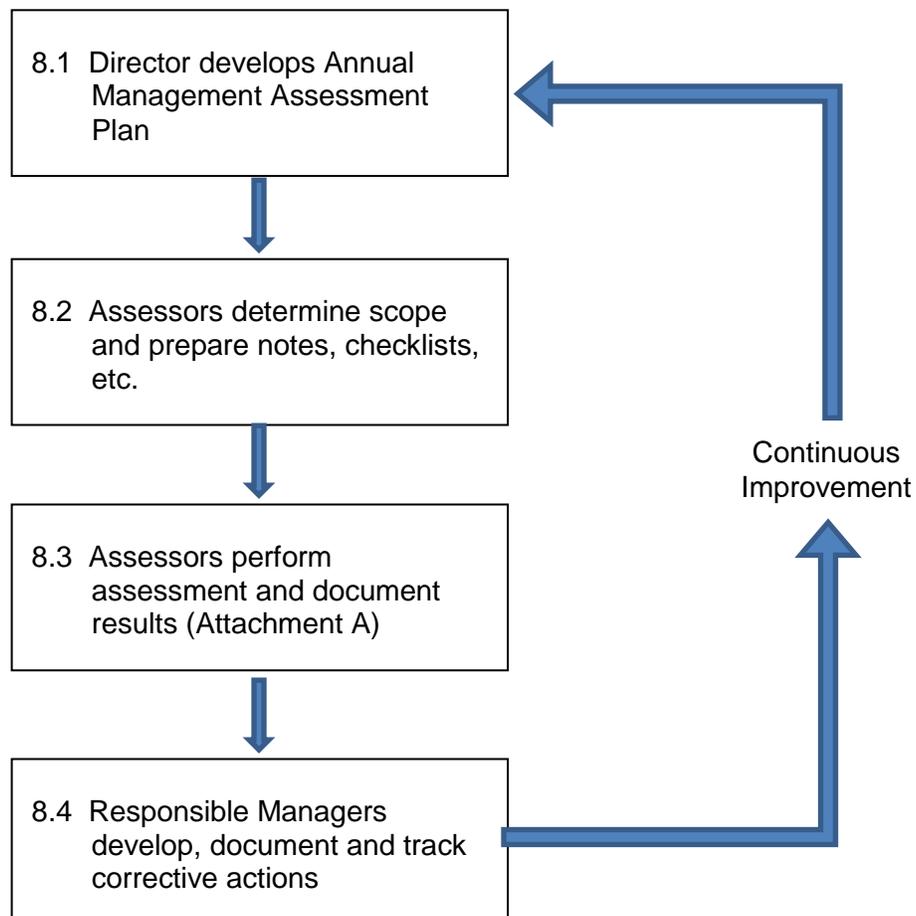
10.1 IP-414-09-F1, Management Assessment Report

11.0 ATTACHMENTS

11.1 Attachment A – Management Assessment Report, IP-414-09-F-1

12.0 FLOWCHART

Flowchart of the Management Assessment Process:



ATTACHMENT A

MANAGEMENT ASSESSMENT REPORT

<p>Name/Title:</p>
<p>Date(s):</p>
<p>Activity(s) Observed/Reviewed:</p> <p><i>Include physical location of the activities, the activities observed, documents reviewed, personnel interviewed, equipment involved, and other relevant information.</i></p>
<p>Issue(s) Identified:</p> <p><i>Identify issues that represent potential safety or quality concerns, process improvement opportunities, deviations from requirements, or any other issues worthy of management attention.</i></p> <p><i>For a potential quality or safety issue, include actions taken to mitigate the issue (if applicable) and a detailed description of the location, process, etc.</i></p> <p><i>For a deviation from a specific requirement, include the requirement as well as the deviation.</i></p> <p><i>For opportunities to improve cost, schedule, safety, and/or quality, include a brief description of the current process, system, or program and the potential improvement.</i></p>
<p>Follow-up Action(s):</p> <p><i>Identify follow-up actions to be taken, the person responsible for completing the action and the date that the action is to be completed. Deficiencies shall be addressed using IP-414-03, EMCBC Corrective Action Procedure.</i></p>
<p>Lesson(s) Learned:</p> <p><i>If there are lessons learned as part of this walkthrough or surveillance, record the lessons using EMCBC Procedure IP-230-01, Operating Experience/Lessons Learned.</i></p>
<p>Signature _____ Date _____</p>

EMCBC RECORD OF REVISION

DOCUMENT: IP-414-09, EMCBC Management Assessment Procedure

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.

I Placing the words GENERAL REVISION at the beginning of the text.

<u>Rev. No.</u>	<u>Description of Changes</u>	<u>Revision on Pages</u>	<u>Date</u>
0	Initial Procedure	All	10/03/11