



Environmental Management Consolidated Business Center Ash Fall Project

Management Assessment

Procedure: AFP-AP-02
Revision 0, 12/20/15

Management Assessment

Revision: 0
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1.0 PURPOSE

The purpose of this procedure is to establish responsibilities and processes for conducting management assessments applicable to the implementation of the Ash Fall Project supporting the Office of River Protection (ORP) Program.

Management assessments are required to assess the total work scope of a project or organization, examining how well the management system meets the customer's requirements; the expectations for safely performing work; and the project's mission, goals, and objectives. The emphasis of management assessment is on management issues that affect performance and related processes such as strategic planning, personnel qualification and training, staffing and skills mix, communication, and cost control. Management assessment also addresses organizational interfaces and mission objectives. The purpose of such assessment is to identify the management aspects of performance and make improvements.

Management assessments will be planned in a systematic manner to focus on those areas presenting the greatest risk for failure or potential for improvement, or that have not been covered by an independent assessment.

2.0 SCOPE

The scope of this procedure is to describe the Management Assessment process for preparing, performing, reporting and follow up activities implemented by the Department of Energy Environmental Management Consolidated Business Center (EMCBC) Ash Fall Project supporting the Office of River Protection (ORP) Program.

3.0 APPLICABILITY

This procedure applies to EMCBC personnel and contractors that participate in Ash Fall Project activities supporting the ORP Program.

4.0 REQUIREMENTS and REFERENCES

4.1 Requirements

4.1.1 EM-QA-001, *EM Quality Assurance Program (QAP)*

4.1.2 ASME NQA-1-2008/2009a, *Quality Assurance Requirements for Nuclear Facility Applications*

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4.2 References

4.2.1 AFP-QAPP-01, *Quality Assurance Project Plan (QAPP)*

4.2.2 AFP-AP-19, *Corrective Actions*

4.2.3 AFP-AP-20, *Quality Assurance Records*

4.2.4 SAP-OTSAM-414C-05, *Stop Work Procedure*

5.0 DEFINITIONS and ACRONYMS

5.1 Assessment – The act of reviewing, evaluating, inspecting, testing, checking, surveillance, auditing, or otherwise determining and documenting whether items, processes, systems, or services meet specified requirements and are performing effectively.

5.2 Graded Approach – The process by which the level of detail in analyses, documentation, and actions necessary to comply with requirements is commensurate with the relative importance to safety, safeguards, and security; the magnitude of any hazard involved; the life-cycle stage of a facility; the programmatic mission of a facility; the particular characteristics of a facility; and any other relevant factors.

5.3 Management Assessment – An evaluation conducted by project management to assess management processes.

6.0 RESPONSIBILITIES

6.1 ORP Project Engineer

6.1.1 Responsible for leading the Management Assessment of the Ash Fall Project and reporting the results to the EMCBC Assistant Director, Office of Technical Support and Asset Management.

6.2 QA Lead for the Ash Fall Project

6.2.1 Responsible for participating and supporting the Management Assessment Team Leader of the Ash Fall Project activities.

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6.3 EMCBC Assistant Director, Office of Technical Support and Asset Management

6.3.1 Responsible for addressing and/or correcting any issues/conditions adverse to quality as a result of the Management Assessment.

7.0 GENERAL INFORMATION

None.

8.0 PROCEDURE

8.1 Preparing for the Ash Fall Project Management Assessment

8.1.1 The ORP Project Engineer is responsible for developing the management assessment program for the Project.

8.1.2 The ORP Project Engineer shall determine current and projected assessment needs based on information provided by (but not limited to) an annual management evaluation, as well as issues or concerns identified by QA or Ash Fall Project staff.

8.1.3 In connection with the annual management evaluation, the ORP Project Engineer shall develop a project assessment plan based on the project's performance objectives and assessment needs and shall review and update this project-wide assessment plan annually or when the objectives or needs change. The Plan shall include the following areas:

- scope of the assessment
- dates/schedule of the assessment
- identification of the team leader and team members
- areas of the project to be evaluated.

8.1.4 The plan shall indicate the schedule for completion of the management assessment, and implementation of the assessment shall be tracked as described in Section 8.4.0.

8.2 Conducting the Management Assessment

8.2.1 Planning a Management Assessment

8.2.1.1 The ORP Project Engineer is the Assessment Team Leader and defines the purpose and scope of the assessment and identifies any team members who will participate on the assessment. The

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Assessment Team Leader position may be delegated to an individual with Team Leader qualifications (such as Audit Team Leader experience).

- 8.2.1.2 The Assessment Team Leader prepares a plan for conducting the assessment, which will include the following, as applicable:
- the scope of the assessment, including prioritizing the areas to be addressed and reviewing significant issues generated by previous assessments;
 - outlining the assessment criteria to be used to judge performance (e.g., drivers, checklists, guidelines, orders, performance indicators, good practices);
 - determining assessment team members, based on each member's technical and QA expertise or direct experience in the subject area;
 - defining the approach(es) to be used in conducting the assessment (e.g., staff interviews, document reviews, performance tests and data validation, direct observation of work in progress); and
 - creating a schedule for the specific assessment.
- 8.2.1.3 The Assessment Team Leader shall approve the management assessment plan and issue to the appropriate organizations being evaluated.

8.2.2 Performing the Assessment

- 8.2.2.1 The Assessment Team Leader ensures that the assessment is performed according to the approved management assessment plan and performs the following:
- coordinating the assessment schedule with those being assessed,
 - collecting and analyzing data,
 - completing a preliminary analysis and obtaining feedback from other team members, as appropriate, and
 - providing feedback on the assessment results to the Project management and assessment participants.
- 8.2.2.2 The assessment may be performed through personnel interviews, review of records, or through a review of any previous assessment reports, surveillances, corrective actions, etc. to review the overall health of the Ash Fall Project.

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8.2.2.3 The Management Assessment Team has the right to stop work when they discover a breakdown in the QA Program, any exposure to imminently dangerous conditions or serious hazards. If any team member discovers such conditions, the Ash Fall staff should stop the work, notify the appropriate senior management, and then refer to SAP-OTSAM-414C-05, *Stop Work Procedure*.

8.2.3 Analyzing Data and Reporting Results

8.2.3.1 The Assessment Team Leader and assessment team shall analyze results of the assessment as follows:

- identify strengths as well as opportunities for improvement relative to the assessment criteria established in the assessment plan,
- determine the significance and potential consequences of the results,
- determine if the results contribute to a negative or positive trend regarding the activity assessed,
- provide an overall effectiveness statement.

8.2.4 Closing the Assessment

8.2.4.1 Upon completion of the management assessment, the ORP Engineer Lead and EMCBC Assistant Director will review the findings of the assessment to determine overall impact and risk; determine appropriate actions to implement process improvements, corrective actions, or other performance enhancements; assign the actions to appropriate staff for implementation; and track these actions to completion in accordance with AFP-AP-19, *Corrective Actions*.

8.3 Reporting the Management Evaluation

8.3.1 The results of the management assessment will be provided in a Management Assessment Report. The report shall include:

- scope of the assessment
- dates and team members of the assessment
- executive summary of the results
- detailed summary of results, including conditions adverse to quality, observations, recommendations, etc.
- conclusion including an Ash Fall Project effectiveness statement

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- list of personnel contacted
- sign, date, and issue the assessment report via email to the appropriate management and staff of the organization assessed.

8.4 Follow-Up of Results

8.4.1 The completion of actions resulting in any conditions adverse to quality identified during the management assessment shall be tracked to closure in accordance with the AFP-AP-19, *Corrective Actions*.

9.0 RECORDS

9.1 The following are considered Lifetime QA Records and shall be submitted by the EMCBC Coordinator to records in accordance with AFP-AP-20, *Quality Assurance Records*:

- Project Management Assessment Schedule
- Management Assessment Plan
- Management Assessment Report
- Associated Management Assessment Correspondence and Corrective Actions
- Correspondence (Emails) transmitting the Management Assessment Report.

10.0 FORMS USED

None.

11.0 ATTACHMENTS

None.

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Form 12-1 – Record of Revision

DOCUMENT: AFP-AP-02, *Management Assessment*

Revision Number	Description of Changes	Revision on Pages	Effective Date
0	Initial Issue	All	12/20/2015