

**U. S. Department of Energy**  
**Carlsbad Field Office**

**MANAGEMENT PROCEDURE**

**CBFO MP 9.1, Rev. 5**

Effective: July 9, 2007

Expires: July 9, 2009

**SUBJECT: MANAGEMENT ASSESSMENTS**

Manager, Carlsbad Field Office: //signature on file//

Date:

**1.0 PURPOSE**

The purpose of this management procedure (MP) is to define the process and responsibilities for the performance of Carlsbad Field Office (CBFO) management assessments. The purpose of a management assessment is to identify aspects of requirements, processes, or performance and make practical improvements. Management assessments may be performed on activities that are quality related (i.e., activities governed by the CBFO *Quality Assurance Program Document (QAPD)*) or on non-quality related areas that managers choose to assess relative to processes or performance to determine potential opportunities for improvement.

**2.0 SCOPE**

This procedure generally applies to activities for which the CBFO has management responsibility. In some instances, this procedure may be used for processes that overlap between CBFO and WIPP participants. Supervisors (i.e., Assistant Manager, Quality Assurance (QA) Manager, Office Directors) will have a management assessment performed on their organization at least once per fiscal year, beginning in fiscal year 2008. This MP supersedes MP 9.1, Revision 4.

**3.0 REFERENCES AND DEFINITIONS**

3.1 References

- U.S. Department of Energy (DOE) Order (O) 414.1C, *Quality Assurance*
- DOE G 414.1-1A, *Management Assessment and Independent Assessment Guide for Use with 10 CFR, Part 830, Subpart A, and DOE O 414.1C, Quality Assurance; DOE P 450.4, Safety Management System Policy; and DOE P 450.5, Line ES&H Oversight Policy, dated 5-31-01*
- DOE CBFO-94-1012, *Quality Assurance Program Document (QAPD)*
- MP 3.1, *Corrective Action Reports*

3.2 Definitions

- **Condition Adverse to Quality (CAQ)** - An all-inclusive term used in reference to any of the following: failures, malfunctions, deficiencies, defective items, nonconformances, and technical inadequacies. A CAQ is considered significant when:
  - if uncorrected, the condition adverse to quality could have a serious effect on safety, operability, waste isolation, transuranic (TRU) waste site certification, regulatory compliance demonstration, or effective implementation of the QA program;

- the condition adverse to quality requires immediate notification of regulatory entities (e.g., 10 CFR Part 21, HWFP Module I.E.13);
  - the condition adverse to quality indicates a significant failure or breakdown in the implementation of QA Program requirements;
  - repeated attempts to resolve a condition adverse to quality have been unsuccessful;
  - the condition adverse to quality is identified in items or activities important to safety or waste isolation and compromises the ability to prevent or mitigate the consequences of an accident, thereby presenting a significant hazard to safety and health of workers and/or the public.
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- **Management Assessment** – For QAPD-related assessments, an assessment performed by management that focuses on how well the integrated QA program is working. The management assessment should identify management problems that hinder the organization from achieving its objectives in accordance with quality, safety, and environmental requirements. For non-QAPD-related assessments, discussed in Section 1.0, an assessment performed by management that focuses on processes or performance to determine potential opportunities for improvement.
  - **Observation** - Documentation of marginally acceptable conditions that, if not controlled, might later escalate into a deficiency. Observations are not deficiencies and do not require a response.
  - **Recommendation** - Suggestions that are directed toward identifying opportunities for improvement and enhancing methods of implementing process or quality program requirements.

#### 4.0 **RESPONSIBILITIES**

##### 4.1 CBFO Manager

- 4.1.1 Ensure that a system is established for conducting management assessments and reporting results at least once each fiscal year.
- 4.1.2 Delegate to the Office of Quality Assurance the responsibility of issuing an Annual Management Assessment Summary Report, which shall include management assessments performed each fiscal year.

##### 4.2 CBFO Supervisors

- 4.2.1 Schedule and have management assessments performed, including a report for the areas assessed.
- 4.2.2 Ensure assessments are accomplished by qualified individuals who are knowledgeable of the program, system, or process being assessed and have an understanding of the assessment processes.
- 4.2.3 Prior to the start of each fiscal year, schedule the expected management assessments for the fiscal year. This schedule shall be updated quarterly, as necessary.

4.3 CBFO QA Manager

4.3.1 At the start of each fiscal year, starting in FY 2008, obtain the CBFO supervisors' schedules of planned management assessments and compile a summary schedule for the CBFO Manager's Office.

4.3.2 Update the fiscal year schedule for the CBFO Manager's Office quarterly.

4.4 CBFO Staff

Provide support to CBFO efforts to conduct effective management assessments of CBFO activities.

**5.0 PROCEDURE**

5.1 Assessment Goals

Management assessments are conducted and reported at least each fiscal year. The assessments will evaluate the adequacy, implementation, and effectiveness of one or more of the following for each organization:

- A. Strategic planning
- B. The effectiveness of the integrated safety management system in meeting strategic goals and in providing continuous feedback and performance improvement
- C. Specific requirements implementation, processes, or performance areas
- D. Organizational structure and interfaces
- E. Staff training and qualifications
- F. Adequacy of resources and personnel
- G. Communication
- H. Organization objectives
- I. Supervisory oversight and support
- J. Other areas as deemed appropriate by the manager

5.2 Management Assessment Methods

Management assessments shall be performed using one or more of the following methods:

- A. Reviews of results from previous management assessment reports and other information sources to be used as background information
- B. Reviews of recent independent assessment results including any observations, recommendations
- C. Observation (viewing) or review of ongoing processes for adequacy, implementation, effectiveness of the controls applied to the process, or opportunities for improvement
- D. Interviews with personnel

5.3 Preparation for Management Assessment

5.3.1 CBFO supervisors shall determine the method of the assessment by selecting the areas of their responsibility that have a risk of failure with severe consequences or that have the greater potential for improvement.

5.3.2 The management assessment plan will identify:

- A. Organizations and functions/areas being assessed
- B. Methods (see paragraph 5.2) to be used for performing the assessment
- C. Schedule and scope of the management assessment
- D. Personnel performing the assessment
- E. Applicable CBFO procedures for performing the management assessment

5.4 Conducting Management Assessments

5.4.1 The supervisor shall:

- A. Have the management assessment performed by the assessment team in accordance with the management assessment plan
- B. Have the results of evaluations documented, including the objective evidence reviewed, any draft recommendations, and a list of personnel contacted

5.5 Post Management Assessment

During the post-performance period of the management assessment, the assessment team leader shall:

- A. Draft the results of the management assessment in a report that includes the following:
  - An executive summary (optional) describing the results of the management assessment, including the scope of the assessment, a brief overview of any issues identified, and a statement of program adequacy and effectiveness
  - A description of the activities reviewed and the associated results
  - Recommendations for improvement of the program and its implementation for review and disposition by the appropriate supervisor(s)
  - Identification of personnel contacted during the assessment (as an attachment)
  - Identification of the reference source(s) used to conduct the assessment (as an attachment)
- B. Sign the report and distribute

**NOTE: Should any apparent condition adverse to quality (CAQ), as defined in Section 3.2, be discovered, it will be processed in accordance with MP 3.1, *Corrective Action Reports*.**

5.6 Follow-up Activities

5.6.1 The CBFO organization assessed shall review the management assessment report as it relates to applicable areas of responsibility. When final, the report and relevant

documentation shall be sent to the CBFO Manager, Deputy Manager, affected CBFO supervisors, and QA records.

5.6.2 The CBFO organization assessed shall process any CAQs according to MP 3.1.

5.6.3 After any CAQs and recommendations have been dispositioned and closed, a summary closure report shall be prepared and sent to the CBFO Manager, Deputy Manager, and affected CBFO supervisors.

## **6.0 RECORDS**

The following will be maintained as nonpermanent quality assurance records:

- Management assessment plans
- Management assessment reports
- Follow-up reports on actions taken as a result of management assessments

## **7.0 ATTACHMENTS**

Attachment I. Example of a Management Assessment Report Format

**EXAMPLE**  
**CBFO MANAGEMENT ASSESSMENT REPORT**

**Date of Assessment:** \_\_\_\_\_

**Assessment Title:** \_\_\_\_\_

**CBFO Assessment Team:** \_\_\_\_\_

**Executive Summary (Optional)/Scope:**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Activities Reviewed:**

\_\_\_\_\_  
\_\_\_\_\_

**Assessment Results:**

\_\_\_\_\_  
\_\_\_\_\_

**Recommendations:**

\_\_\_\_\_  
\_\_\_\_\_

**Attachments:**

- Attachment 1: Personnel Contacted During Assessment
- Attachment 2: Program Source Documents

\_\_\_\_\_  
**Responsible Manager's Signature**

\_\_\_\_\_  
**Date**