

**Argonne National Laboratory-East Quality Assurance Program Plan****Part 2 ANL-E Quality Assurance Procedures****Chapter 3 ASSESSMENT****ANL-E Procedure 3.1 Management Assessment***Section last revised: August 14, 2002**Section last reviewed: August 14, 2002***3.1 MANAGEMENT ASSESSMENT****3.1.1 PURPOSE**

This procedure provides guidance, establishes minimum requirements, and defines related responsibilities for performance of management assessments, which:

- Ensure continued adherence to ANL policies.
- Measure and report progress towards meeting performance objectives.
- Ensure problems that hinder achieving performance objectives are identified and corrected.

**3.1.2 SCOPE**

This procedure applies to the annual management assessment coordinated by EQO, which is a planned review of operations and activities to determine the effectiveness of management programs in achieving specific safety and QA goals and performance objectives. This procedure may be used by ANL line organizations in any other management assessments (see QAPP Part I, Chapter 2, Section 2.8).

These assessments are focused on improving overall performance and attaining performance objectives as defined in the current prime contract between DOE and the University of Chicago.

**3.1.3 RESPONSIBILITIES**

**The Laboratory director** has overall responsibility for the management assessment program at ANL. The Laboratory director appoints the director of EQO who assumes the principal responsibility for the ANL assessment program, including management assessments.

**Associate Laboratory directors and chief operations officer** should:

- Ensure that a management assessment is planned and conducted annually (to cover the fiscal year) by their organization.

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- Assess the effectiveness of the management assessments performed by their organizations.
- Provide the results from the management assessments to other organizations as lessons learned or, if applicable, to ANL institutionally in order to strive for continuous improvement in performance.
- Ensure that corrective actions are taken when deficiencies are noted in assessments.

#### Division directors should:

- Plan and ensure that an annual management assessment is completed.
- Provide copies of the management assessment to their ALD or COO.
- Ensure that corrective actions are captured in their corrective action tracking system.

#### Director of Environment, Safety, and Health/Quality Assurance Oversight (EQO) must:

- Establish and maintain the management assessment program.
- Evaluate the management assessment program at least triennially to ensure its adequacy and effectiveness.
- Review management assessments completed to identify potential lessons learned and opportunities for improvement applicable to other ANL and/or DOE-wide organizations.
- Establish corrective action plans for weaknesses discovered that have ANL-wide implications.

#### 3.1.4 MANAGEMENT ASSESSMENT CRITERIA

Management assessments are a tool that helps an organization reflect on its performance and guide the organization to take appropriate actions to promote improvement. The performance should be judged against the ANL performance measures and the organization's missions and goals. The management assessment should include the following, where appropriate:

- Effectiveness of the organization's management.

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- Organizational performance, structure and staffing, funding, and adequacy of training and qualification.
- Status and implementation of the ANL QAPP.
- Effectiveness of integrated safety management (ISM) implementation by evaluation of work conduct and performance compared with the ISM Program Description.
- Status of implementation of expectations/requirements contained in Laboratory Tier 2 documents and the division's tier 3 documents.
- Results, effectiveness, and adequacy of the organization's assessment program, including where applicable, past management assessments, independent assessments, and any other assessments or monitoring activities that were completed (formal and informal).
- The organization's contribution to the ANL performance measures and indicators for trends in performance and for adequacy of the measure/indicator itself.
- The effectiveness of management actions to correct:
  - Weaknesses found during assessments.
  - Negative trends in performance measures/indicators.
- The identification and evaluation of any lessons learned that were implemented within the organization and whether they could be applicable to others within ANL or the DOE complex.

#### 3.1.5 MANAGEMENT ASSESSMENT REPORTS

Management assessment reports should include the following information where applicable:

1. Identification of individual(s) and titles of those performing the assessment.
2. Performance objectives/mission.
  - a. Program missions
  - b. ES&H

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- c. Quality and other
- 3. Division performance (as appropriate, compare numbers to previous years to evaluate trends).
  - a. Budget (funding, overtime, etc.)
  - b. Staffing (hires, changes, impacts of changes)
  - c. Overview of work completed and any changes in mission
  - d. Milestones/commitments status of completion
  - e. Work for Others
  - f. Major accomplishments (experiments, operations, safety, etc.)
- 4. Assessment Program Results.
  - a. Independent assessments conducted and summary of results
  - b. Other assessments conducted and summary of results, including walk-throughs and required inspections and tests.
 

**Note:** the tracking/trending of inspections/tests is one tool for recognizing the need for an overall assessment of the management process.
  - c. Report as to meeting current year assessment plans
  - d. Summary of actions taken/planned as a result of lessons learned from others' assessments
  - e. Responses from employee questionnaires/surveys, if any
  - f. Assessment plans for the coming fiscal year as required by QAPP Part 1, Section 2.8
- 5. Performance measures and indicators (as appropriate, compare numbers to previous years to evaluate trends).

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- a. Organization "contribution" to ANL performance measures/indicators
  - b. Balanced scorecard results, if applicable
  - c. Injuries/lost time/restricted time
  - d. Radiological exposures
  - e. Occurrence reports (provide list, summary, and causal factors to help identify trends)
  - f. Environmental or permit violations
6. Corrective Actions.
- a. Review of past corrective actions, as appropriate, to evaluate continued effectiveness
  - b. Summary of actions taken as a result of weaknesses identified in the previous management assessment
  - c. Summary of actions taken/planned as a result of the assessments conducted by or for the organization
  - d. Evaluation of opportunities for improvement and any actions taken/planned
7. Summary and Future Goals.
- a. Summarize any significant issues from the assessment
  - b. Identify future goals for the coming and future years, as appropriate
  - c. Identify issues that currently present barriers to meeting the organization's goals. Further, discuss the appropriate actions to address the issues

Management assessment reports must cover activities and accomplishments completed since the last report. As appropriate, a management assessment can reference other documents (e.g., the appropriate section of the ANL Institutional Plan) and include copies as attachments to the management assessment.

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Management assessment reports must be maintained by the director of EQO in accordance with ANL records management requirements.

**3.1.7 PRICE ANDERSON ADMENDMENTS ACT (PAAA) SCREENING**

PAAA screening must be accomplished for any deficiency or potential deficiency, recognized as part of the assessment process to the Nuclear Rules or nuclear safety requirements (including ANL nuclear and radiation safety program requirements) in accordance with ESH Manual Section 1.2.