

# TEMPORARY CHANGE REQUEST

TCR NO. TCR-QA-025-R1-001

(e.g., TCR-ENG-021,R0-001)

The Temporary Change Request (TCR) Form is to be used to process urgent or minor changes for PPPL Policies, Organization/Mission Statements and Procedures. The TCR should be used when changes are:  
1) urgent, and can not wait the 2-4 week period for Department Head review/comment, or  
2) minor, and do not warrant Department Head review.

Person Requesting Change: Connie Cummings Phone Ext: 2367

Department Name: Quality Assurance

Document Number: QA-025 Revision No.: 1

Document Title: Management Assessment

## Reason for change:

Removing "Contractor Assurance Systems Meeting".

## Change description: (Summarize and attach changed pages, with changes clearly indicated)

Add – "Assessments and Action Items Meeting".

1. Does this TCR significantly alter the intent or scope of the document? YES: \_\_\_\_\_ NO:

2. Does this TCR significantly impact ES&H? YES: \_\_\_\_\_ NO:

If 1 or 2 is YES, Explain why the changes should not be routed for Department Head review:

J. Malsbury  
Department/Division Head Approval

7/10/14  
Date

J. DeLooper  
Head, Best Practices and Outreach/designee

7/14/14  
Date

Release/Effective date of this TCR: 7/14/14

Incorporate this TCR into next revision of this document? YES:  NO: \_\_\_\_\_

<b>Subject:</b>  <b>Management Assessments</b>	<b>Effective Date:</b>  June 17, 2013	<b>Initiated by:</b>  Head, Quality Assurance Division
	<b>Supersedes:</b>  Rev. 0 5/24/11	<b>Approved:</b>  Director

**TCR-QA-025 R1-001**

**Management System (Primary):** 12.00 Assurance and Improvement  
**Management System Owner:** Head, Best Practices and Outreach Department  
**Management Process:** 12.07 Lessons Learned/Operating Experience  
**Process Owner:** Head, Best Practices and Outreach Department  
**Subject Matter Expert (SME):** Head, Quality Assurance

**Applicability**

This procedure applies to the Directorate, Department, and Division managers.

**Introduction**

Management Assessments are a tool for a Directorate, Department, or Division to evaluate the effectiveness of a management system and associated processes. Each of these organizations could consider conducting an assessment on organizational performance, strategic planning, personnel qualification, staffing, skills mix, communication, cost control, mission objectives, and effectiveness of previous assessments and associated actions. Examples of routine management assessments include the quarterly Laboratory Management Review Meeting (LMR) and the monthly Assessment and Action Items Meeting. **TCR-QA-025 R1-001**

**Each PPPL Department Head** is required to perform at least one documented management assessment for his or her area of responsibility **annually**.

Online training on conducting management assessments is available from HR e-Learning.

**Definitions**

**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. (DOE G 414.1-1B)

**Management System** A framework of processes and procedures used to ensure that an organization can fulfill all tasks required to achieve its objectives. Examples of management systems are the Quality Management System, Environmental Management System, Occupational Health & Safety Management System, Engineering Design Management System, or Training Management System.

Project	A set of interdependent activities planned to meet a common objective or mission need, which has defined start and end points; is undertaken to create a product, facility, or system; and contains interdependent activities planned to meet a common objective or mission.
Process	Any set of activities that has a defined purpose, an initiating event, established inputs, identifiable stakeholders, and expected outputs. The process may be contained within a single or several organizational units.

**Reference Documents**

- DOE O 414.1D, Quality Assurance, Criterion 9, Management Assessments, “Ensure that managers assess their management processes and identify and correct problems that hinder the organization from achieving its objectives.”
- PPPL Assurance System Description
- PPPL Institutional Quality Assurance Plan

**Procedure**

**A. Performing a Management Assessment**

Note: Attachment 1 provides a flow diagram for this procedure.

**Responsibility**

**Action**

Cognizant Manager	<ol style="list-style-type: none"> <li>1. Identifies a Management Assessment to be performed, the scope of the assessment (e.g., facilities, organization, process, project, systems, other), the objectives of the assessment, individual(s) responsible for performing the assessment, the expected date for the results, and any other desired information.</li> </ol> <p><b>Note:</b> Attachment 1 provides a flow diagram for this procedure.</p>
Assigned Individual	<ol style="list-style-type: none"> <li>2. Performs the assessment and documents the results.</li> </ol> <p><b>Note:</b> Attachment 2 provides sample questions by topical area. Attachment 3 contains a generic format for documenting the results.</p> <p><b>Note:</b> The Management Assessment can be performed as part of another meeting, such as a Department Staff Meeting, as long as the results are documented.</p>
Cognizant Manager	<ol style="list-style-type: none"> <li>3. Determines if corrective actions are necessary, and if so, by whom, and when.</li> <li>4. Determines the distribution for the assessment report. Distribution should include the ATIs of any procedure affected by corrective actions.</li> <li>5. Monitors completion of the corrective actions.</li> </ol>

ResponsibilityAction

6. Updates report to include the corrective actions completed. Maintains records documenting the management assessment and the completed corrective actions.

B. Training (section required for all procedures)

Head, QA

1. Provides training as follows:

- a. Target Audience: anyone wishing or needing to know more about performing a management assessment;

Instructor: Online or from Head, QATraining Method: Online at <http://hr.pppl.gov/OnlineTrainingList.htm>Frequency: Once only

- b. Target Audience: Supervisors

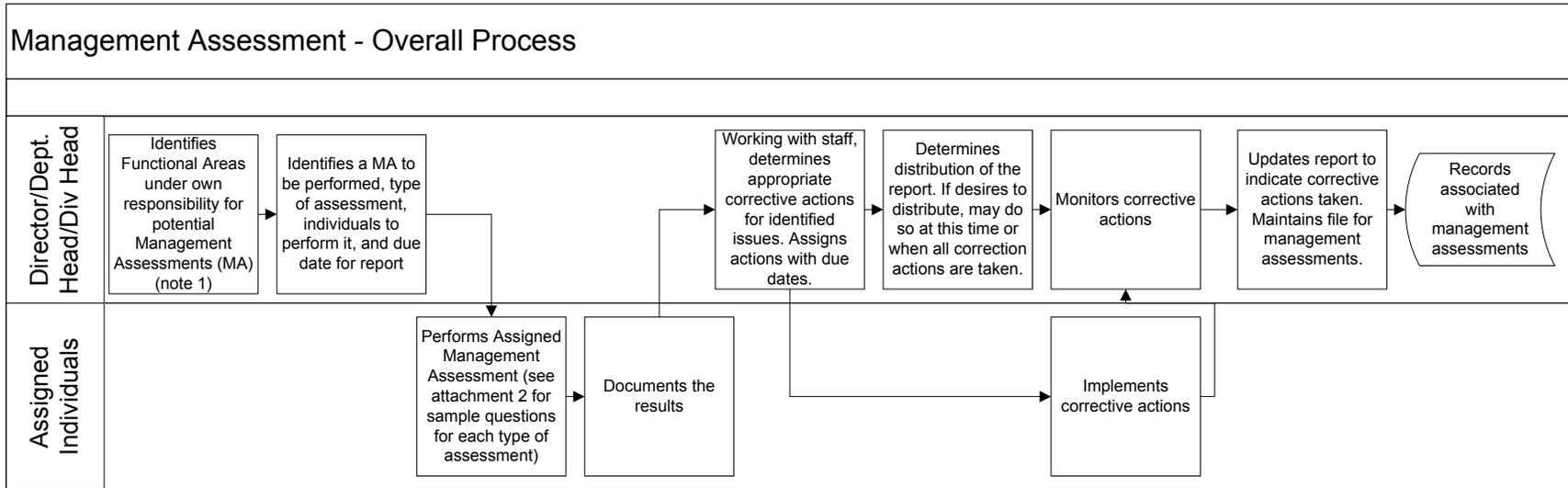
Instructor: Self-guidedTraining Method: Read only via standard Email distribution of procedure updates from Best Practices to all supervisorsFrequency: Once only

Head, QA

2. Notifies the Human Resources Training Office of the training so that they will be aware of the training requirements and be able to provide assistance and guidance in the course development, implementation, tracking, and maintenance.

Attachments

1. Management Assessment process flow diagram
2. Sample questions for management assessments
3. Template for Management Assessment reports



**Note:** Two sources of suggested areas for assessments are:

- PPPL Integrated Assessment Schedule, found at:  
<http://spportal.pppl.gov/bp/iap/Lists/Assessment%20Plan/CalenderView1.aspx>
- Required and recommended independent audits found at:  
[http://www-local.pppl.gov/qa/QAReqd\\_RecAudits/Req-RecAud%203-2-12.pdf](http://www-local.pppl.gov/qa/QAReqd_RecAudits/Req-RecAud%203-2-12.pdf)

**TCR-QA-025 R1-001****Facility Management Assessment**

1. Is the facility appropriate for the work being performed (e.g., mission, functions, ES&H, etc.)?
2. Is the layout of the facility appropriate from a human factors perspective?
3. Are there cost-effective changes that could improve the efficiency of the facility (e.g., research productivity, energy, environmental, etc.)?

**Organizational Management Assessment**

1. Does the organization have the appropriate staff and skill mix for the activity? If not, what actions should be taken to resolve the issues?
2. Is the organization capable of providing the services requested for the activity? If not, what can be done to resolve the issues?
3. Are the organizational interfaces appropriately identified and established to maximize efficiencies across organizational boundaries?

**Project Management Assessment**

1. Is the project's scope adequately defined? Are the customer's expectations known and documented? Are the estimating, schedule and cost profiles realistic?
2. Are sufficient personnel with the required competencies assigned to the project?
3. Are risks identified, mitigated, and managed appropriately?
4. Is the change control process established?
5. Are the trends of the performance metrics satisfactory (e.g., schedule performance index and cost performance index)? If not, what actions should be taken?
6. Are there other issues that could have an impact (e.g., records, configuration control, testing, inspections, etc.) ?

**Process Management Assessment**

1. How effective is the process?
2. What are the strengths of the process?
3. What are the weaknesses of the process? How significant are these weaknesses?
4. What improvements to the process or other actions can be taken to resolve these weaknesses?
5. Can process be more efficient and effective? If so, how?

**Management System Assessment**

1. Are the requirements for the management system well-defined? Do they include requirements imposed by DOE, state and federal regulations, etc.?
2. Does the management system, as implemented, satisfy the requirements?
3. How well does the management system, as a whole, perform? What are its strengths? What are its weaknesses? What can be done to resolve these weaknesses?

**TCR-QA-025 R1-001****Supervisory Responsibilities and ISM**

1. What is the supervisory chain from Division Head to group level?
  - a. Group functions and members?
  - b. Group head backups?
2. What are the supervisory responsibilities at the
  - a. Division level
  - b. First line supervisor level
  - c. Group(s) level
3. Who enforces safety and operations training?
4. Who monitors worker performance on the job?
5. What meetings are held to support supervisory roles?

<b>PPPL</b>	<b>PRINCETON PLASMA PHYSICS LABORATORY</b>	<b>PROCEDURE</b>	<b>No. QA-025 Rev 1 Attachment 3</b>
<b>Non-mandatory Report Template for Management Assessments</b>			<b>Page 1 of 1</b>

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Note that a template for Management Assessments is available via the PPPL Forms and Manuals webpage (<http://www-local.pppl.gov/forms.html>). There are two versions. One is locked, making it easier for the user to tab from one input field to another. The second is unlocked, providing the capability for the user to download the format and modify it, as desired.

**Organization:**

**Name of Director, Department, or Division Head Requesting the Assessment:**

**Name of Management Assessment:**

**Type of Assessment: (Facility/Organization/Project/System/Program/Process/Other)**

**Objective of the assessment:**

**Name of individual(s) performing assessment:**

**Due date for assessment report:**

**Questions asked and associated answers:**

**Corrective actions to be (scheduled) or have already been taken (completed), by whom, and when:**