



Boston Government Services LLC

MANAGEMENT ASSESSMENTS

BGS-MG-03

Revision 0

BGS Proprietary Information Notice

This document and the information it contains is property of Boston Government Services, LLC (BGS). It shall not be reproduced, or its content otherwise made available to non-BGS parties without the express written consent of Boston Government Services, LLC.


Prepared By:


Richard Lambert, Quality Assurance Manager

3-2-16

Date

Approved By:


Harry L. Boston, President

3/2/2016

Date

Effective Date 3/31/16

FUNCTIONAL AREA: Management	BGS-MG-03	
PROCEDURE TITLE: Management Assessments	REV. NO. 0	DATE:03/31/2016
	Page 2 of 13	

Revision History

Rev. #	Date	By	Type ¹	Changes
0	2/16/16	R. Lambert	M	Initial issue of BGS-MG-03, R0. For historical revision history see BGS-QA-19, R1. Updated to latest style template Updated procedure references Combined MA Plan and Report Procedure has been revised to address CARs; -15-14-3a (corrective action (CA) #3), 15-15 (CA #2) and -15-17 (CA#4).

¹ M = major change, mc = minor change, N = new

FUNCTIONAL AREA: Management	BGS-MG-03	
PROCEDURE TITLE: Management Assessments	REV. NO. 0	DATE:03/31/2016
	Page 3 of 13	

Table of Contents

1. PURPOSE 4

2. SCOPE 4

3. REFERENCES..... 4

4. DISCUSSIONS AND OVERVIEW 4

5. DEFINITIONS AND ACRONYMS..... 5

6. RESPONSIBILITIES 6

7. PROCEDURE 6

8. RECORDS10

9. ATTACHMENTS10

 ATTACHMENT 1 – *Management Assessment Plan Form*, BGS-MGF-03.1.....11

 ATTACHMENT 2 – Finding Levels13

FUNCTIONAL AREA: Management	BGS-MG-03	
PROCEDURE TITLE: Management Assessments	REV. NO. 0	DATE:03/31/2016
	Page 4 of 13	

1. PURPOSE

This procedure describes the roles, responsibilities, and processes to be used by Boston Government Services, LLC (BGS) Functional Managers (FMs) in the performance of Management Assessments (MAs).

2. SCOPE

This procedure applies to all BGS functional areas. BGS identifies, schedules, and performs management assessments targeted at one of three evaluation levels, which are

Process Level - Process level MAs involve the examination of work controls and verification that they are being implemented effectively from a quality and customer satisfaction perspective.

System Level - System level MAs focus on whether the appropriate leadership and support systems are in place to enable the implementation of work processes. System MAs are performed to ensure that human and material resources are being properly applied to achieve an organization's mission and objectives.

Program Level - Program level MAs are used to determine whether the overall organizational programs are properly established and implemented. Program level MAs usually examine the integration of the systems designed to achieve organizational goals and customer expectations.

3. REFERENCES

- 3.1. DOE O 414.1D, Change 1, *Quality Assurance*
- 3.2. DOE G 414.1-1B, *Management and Independent Assessment Guide*
- 3.3. EM-QA-001, *DOE Environmental Management QA Program*
- 3.4. BGS-QAP-01, *BGS Corporate Quality Assurance Plan (QAP)*
- 3.5. BGS-MG-01, *Customer Satisfaction Assessments* (formerly BGS-QA-13)
- 3.6. BGS-MG-02, *Continuous Improvements* (formerly BGS-QA-14)
- 3.7. BGS-QA-16, *Corrective Action*
- 3.8. BGS-RM-01, *Quality Assurance Records* (formerly BGS-QA-17)

4. DISCUSSIONS AND OVERVIEW

- 4.1. MAs are one of the means for identifying areas needing correction or improvements.
- 4.2. FMs use MAs to assess their organization's performance with regards to one or more the following: safety, quality, mission completion, and performance against technical and financial goals and objectives.
- 4.3. MAs are performed by personnel knowledgeable in the subject area and trained in

FUNCTIONAL AREA: Management	BGS-MG-03	
PROCEDURE TITLE: Management Assessments	REV. NO. 0	DATE:03/31/2016
	Page 5 of 13	

assessment techniques.

- 4.4. BGS does not require a fixed number of MAs to be performed on an annual basis. BGS' goal is to be able to demonstrate through the MA program and other review processes that BGS complies with customer quality assurance (QA) requirements.

5. DEFINITIONS AND ACRONYMS

BGS	Boston Government Services, LLC
Condition Adverse to Quality (CAQ)	An all-inclusive term used when a requirement has not been met and in reference to any of the following: failures, malfunctions, deficiencies, defective items, and non-conformances. Assessment/Audit Findings identify CAQs. (NQA-1-2008)
Finding	An individual condition not meeting a committed requirement (e.g., contract, regulation, QA program, or procedure).
Finding Levels	A system for classifying findings. BGS' two Finding levels are defined in Attachment 2.
Functional Manager (FM)	A person who has management authority over an organizational unit, such as a department, within BGS. BGS identifies and assigns individuals to functional areas (e.g., Accounting, Quality Assurance, Information Management, and Business Development).
Issue	Term used to refer to events, Findings, adverse conditions, recommendations, suggestions, and opportunities for improvement, for example, any situation that may warrant Management attention.
Management Assessment (MA)	A periodic introspective self-analysis to determine whether the organization's activities are properly focused on achieving desired results. This includes reviewing the processes, systems, and programs that are important to the organization's mission and objectives.
Noteworthy Practice	A positive observation, based on objective assessment data, of a particular practice, procedure, process, or system considered unique or innovative. Mere compliance with mandatory requirements is not considered to be a noteworthy practice.
Observation	An area of potential weakness or a strength identified during the assessment. Observations support identification of Findings and

FUNCTIONAL AREA: Management	BGS-MG-03	
PROCEDURE TITLE: Management Assessments	REV. NO. 0	DATE:03/31/2016
	Page 6 of 13	

noteworthy practices.

QA Quality Assurance

Significant Condition Adverse to Quality (SCAQ) A condition adverse to quality that, if left uncorrected, could have a serious effect on safety, operability, or credibility of BGS work. (NQA-1-2008)

Subject Matter Expert (SME) An individual with demonstrated experience and documented knowledge of a program area or technical discipline.

6. RESPONSIBILITIES

6.1. BGS President

6.1.1. Ensures the requirements of this procedure are implemented and resources made available to support the MA program.

6.2. Functional Managers

6.2.1. FMs are responsible for the planning and performance of management assessments.

6.2.2. FM ensures that BGS Personnel assigned to support the performance of MAs, as Assessors or SMEs, have completed required training per this procedure.

6.2.3. Prepares and maintains an MA list for each assigned functional area.

6.2.4. Performs selected MAs.

6.3. Quality Assurance Manager:

6.3.1. The QA Manager is responsible for the development, scheduling, and maintenance of the BGS Assessment Schedule and this procedure.

6.4. Assessors/Subject Matter Experts

6.4.1. Assist, as needed, the FM in the development of the assessment plan and review criteria in their assigned area.

6.4.2. Perform the assessment per the assessment plan in their designated area and accurately document their assessment activities/results.

7. PROCEDURE

7.1. Identifying and Listing MAs

FUNCTIONAL AREA: Management	BGS-MG-03	
PROCEDURE TITLE: Management Assessments	REV. NO. 0	DATE:03/31/2016
	Page 7 of 13	

Note: MAs are identified and listed for those systems, processes, and programs that affect the organizations performance and mission objectives.

- 7.1.1. FMs prepare a list of the programs, systems, and processes for which they have responsibility and identify the risk that each program, system, or process can have on BGS performance, objectives, and mission. Based on this review, the FM prepares and maintains a list of potential MAs.
- 7.1.2. From the overall list, the FM identifies at least two (2) MAs for their functional area in preparation for the BGS annual MA schedule update meeting (section 7.2).
- 7.1.3. The FMs determine the topics and evaluation level for each identified MA.

Note: Areas that present the greatest consequences of failure and the greatest benefit for improvement, if implemented, should receive particular emphasis.

- 7.1.4. The FM provides their list of selected MAs to the BGS President and QA Manager prior to the MA scheduling meeting.
- 7.1.5. The BGS President and QA Manager can request that additional topics or assessments be identified based on information from recent internal and/or external reviews.

7.2. BGS Assessment Schedule

- 7.2.1. The QA Manager prepares and maintains a three-year rolling BGS overall assessment schedule. The assessment schedule includes BGS MAs, planned customer satisfaction assessments, known independent audits/assessments, effectiveness reviews, and other types of evaluations, reviews, or assessments.
- 7.2.2. Annually (at or near the beginning of the fourth calendar quarter), the QA Manager coordinates a meeting with the BGS President and FMs to update the BGS overall assessment schedule.
- 7.2.3. At the annual meeting, the overall assessment schedule is reviewed to incorporate new MAs, identify potential conflicts with or duplicate planned assessments to develop an overall list of planned reviews/assessments and a subset list of MAs for the following year.
- 7.2.4. After the annual meeting, the QA Manager updates the BGS overall assessment schedule on a quarterly basis. The update considers the current conditions, conclusions of recent MAs, inputs for independent assessments, and organizational performance to determine changes to the overall assessment schedule. If necessary, a special scheduling meeting is coordinated by the QA

FUNCTIONAL AREA: Management	BGS-MG-03	
PROCEDURE TITLE: Management Assessments	REV. NO. 0	DATE:03/31/2016
	Page 8 of 13	

Manager.

Note: Adjustment to the assessment schedule can include and take credit for other management reviews or similar assessments that routinely occur, such as the following: Program reviews; Strategic planning sessions; Reviews of performance indicators; Reviews of organizational goals-setting and objective-setting sessions; Financial reviews; Benchmarking activities (both internal and external); Reviews of the outputs of improvement teams; and Reviews of independent audits/assessments.

7.3. Management Assessment Performance

- 7.3.1. The FM contacts the QA Manager to obtain the MA number.
- 7.3.2. The FM identifies and trains additional Assessors and SME(s) (team members), as needed, per section 7.4.3, to assist in the performance of the MA.
- 7.3.3. The FM and team members plan the management assessment by completing Part 1 of the *Management Assessment Report Form* (BGS-MGF-03.1) per form instructions.

Note: DOE Standard Review Plan Modules (SRP) can be used in the development of Lines of Inquiry for MAs (the review modules can be found online at <http://www.energy.gov/em/standard-review-plan-SRP-modules>).

Additional guidance on planning, performing and documenting the MA can be located in DOE-G-414.1-1B, *Management Assessment and Independent Assessment Guide*.

- 7.3.4. Upon completing Part 1 of Form BGS-MGF-03.1, the FM forwards a copy, for information, to the QA Manager.
- 7.3.5. The FM conducts the MA in accordance with the MA Plan.

Note: The MA includes evaluation available quality performance and trend analysis data, such as the results of independent assessment and data from BGS trending analysis. The FM consults with the QA Manager to obtain data if available.

- 7.3.6. If issues are identified, the FM utilizes Attachment 2, Finding Levels, to assist in the categorization of identified findings.
- 7.3.7. MA findings, observations, opportunities for improvement, and noteworthy practices are identified.

FUNCTIONAL AREA: Management	BGS-MG-03	
PROCEDURE TITLE: Management Assessments	REV. NO. 0	DATE:03/31/2016
	Page 9 of 13	

- 7.3.8. Following completion of the MA, the FM communicates assessment results to their organization and resolves any factual accuracy issues.
- 7.3.9. The FM documents results of the MA by completing the Part 2 sections of the MA Report Form, BGS-MGF-03.1, per form instructions.
- 7.3.10. The FM approves and obtains the QA Manager approval of the MA report.

Note: To maintain the independent QA review function: when the MA is assigned to the QA functional area the BGS President will perform the QA Manager independent review and approval function, noted in this procedure, and sign for the QA Manager.

- 7.3.11. The FM submits the approved MA Report as a QA record, per Section 8.0.
- 7.3.12. The FM ensures entry of the MA issues (findings, and as appropriate observations and opportunities for improvements) into the BGS Corrective Action system per BGS-QA-16, *Correction Action*, no later than 15 days following completion of the MA.
- 7.3.13. If Lessons Learned were identified during the performance of the MA, the FM forwards them to the BGS Lessons Learned Coordinator, per BGS-MG-02, *Continuous Improvements*.

7.4. Assessor and SME Training

- 7.4.1. If additional assessment team members (Assessors and SMEs) are utilized to support the MA, The FM selects them based on their
- a) Education, experience, and training commensurate with the scope, complexity, and nature of the SME's review area.
 - b) Knowledge about the program, system, or process being assessed.
 - c) Ability to communicate effectively, both orally and in writing.
 - d) Demonstrated effective interpersonal skills.
- 7.4.2. The SME's resume are attached to the MA report Form.
- 7.4.3. The FM ensures that the selected assessors and SME(s) have completed Required Reading of the following BGS documents:
- a) BGS-QAP-01, *BGS Corporate Quality Assurance Plan (QAP)*
 - b) BGS-QA-16, *Corrective Action*
 - c) BGS-RM-01, *Quality Assurance Records*
 - d) BGS-MG-03, *Management Assessment*

FUNCTIONAL AREA: Management	BGS-MG-03	
PROCEDURE TITLE: Management Assessments	REV. NO. 0	DATE:03/31/2016
	Page 10 of 13	

7.4.4. To enhance MA performance, the FM or QA Manager can perform training sessions with Assessors and SME(s) where assessment methods and practices are reviewed in greater detail.

8. RECORDS

8.1. The completed MA report (Form BGS-MGF-03.1, *Management Assessment Report Form*) and associated supporting documentation is a QA record and shall be maintained and transmitted per BGS-RM-01, *Quality Assurance Records*.

9. ATTACHMENTS

9.1. Attachment 1 – *Management Assessment Report Form*, BGS-MGF-03.1

9.2. Attachment 2 – Finding Levels

FUNCTIONAL AREA: Management	BGS-MG-03	
PROCEDURE TITLE: Management Assessments	REV. NO. 0	DATE:03/31/2016
	Page 11 of 13	

**ATTACHMENT 1 – Management Assessment Plan Form, BGS-MGF-03.1
EXAMPLE**

<i>Management Assessment Report</i>			
PART 1			
Item #		MA #	
1	MA Title:		
2	FM:		
3	Assessment Team Members (as applicable):		
4	Management Assessment (MA) Scope		
5	MA Objectives		
6	MA Drivers, Assessment Process and Review Criteria (LOIs)		
7	MA Schedule:		
PART 2			
8	MA Results Summary:		
9	MA Results (List by Criteria)		
10	List of Findings, Opportunities for Improvement and Noteworthy Practices		
11	List of MA Evidence		
12	FM Approval/Date:		
13	QM Approval/Date:		

FUNCTIONAL AREA: Management	BGS-MG-03	
PROCEDURE TITLE: Management Assessments	REV. NO. 0	DATE:03/31/2016
	Page 12 of 13	

**ATTACHMENT 1 – Management Assessment Plan Form, BGS-MGF-03.1, Rev. 0
(CONTINUED)**

EXAMPLE

Management Assessment Report Instructions:

Part I Management Assessment Plan:

The Functional Manager (FM) obtains a MA # from the Quality Assurance Manager. The FM completes Part I per instructions below:

- 1) Enter the title of the management assessment.
- 2) Enter responsible Functional Manager's name.
- 3) List assessment team members (assessors and Subject Matter Experts (SME) as applicable.) FM verifies that assessor and SME's have completed required reading and training.
- 4) Enter a description of the scope of the MA.
- 5) Enter a description of the objectives of the MA. Specifically discuss the evaluation level (process, system and/or program). Relate objectives to BGS mission or goals. Consult with the QA Manager to assist in development of Lines of Inquiries.
- 6) List the drivers associated with the MA (i.e.: DOE Orders, Regulations, etc.). Identify the planned assessment approach (i.e.: document review, interviews, work practices to be observed, etc.).
- 7) Enter the plan dates of the assessment (start – finish).

Part II Management Assessment Report:

- 8) Provide an executive level summary of the MA results.
- 9) Provide MA results in detail by MA Plan review criteria.
- 10) List findings (by finding level), opportunities for improvement or noteworthy practices.
- 11) List of reviewed evidence, personnel interviewed and work observed.
- 12) Upon completion of the MA Report the FM signs and dates.
- 13) The FM obtains review and approval of the QM. The QM upon approval of the MA Report notes approval by signing/dating the MA Report. A copy of the report is provided to the QM. The FM forwards the MA report and attachment (Quality Record) to the DCA per Section 8.0 of the procedure.

Attachments to the Report:

- a) Attach SME's resume to completed MA Report.
- b) Evidence supporting Findings
- c) Other documentation as needed.

The FM prepares corrective actions for findings and opportunities for improvements per BGS-QA-16, *Corrective Action*.

FUNCTIONAL AREA: Management	BGS-MG-03	
PROCEDURE TITLE: Management Assessments	REV. NO. 0	DATE:03/31/2016
	Page 13 of 13	

ATTACHMENT 2 – Finding Levels

The BGS Finding level system is designed to assist Assessors in determining the relative importance of issues identified during performance of a management assessment. Finding level determinations are based upon the professional judgment of the finding originator. The assessor consults the BGS Quality Manager to address questions regarding selection of the finding level. The following criteria are guidelines for establishing priority levels:

Finding Level 1 - A finding identifying a significant condition adverse to quality or systemic breakdown in safety, quality, or Integrated Safety Management. The adverse condition identified in the finding has impact on quality, worker health or safety, the public, the environment, facility operations, or regulatory compliance. The FM is to take appropriate interim action (i.e.; stop work) and consult with BGS President and QA Manager if a potential finding level 1 is identified during a Management Assessment.

Finding Level 2 – A finding identifying a condition adverse to quality that requires management attention to correct. The condition identified in the finding is a non-compliance with a requirement that could affect quality, worker health or safety, the public, the environment, facility operations, or regulatory compliance. Management attention is required for activities such as procedure revisions, training, etc.

Finding(s) and Corrective Actions to correct the finding(s) are tracked in BGS Corrective Action process (BGS-QA-16, *Corrective Action*).

Observations not subject to the corrective action process can be addressed by the Continuous Improvement Process as part of the annual management assessment performed by the BGS President per BGS-MG-02, *Continuous Improvements*.