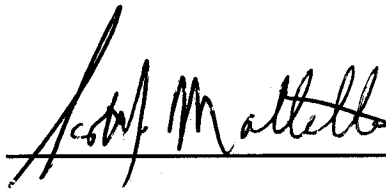


**U.S. DEPARTMENT OF ENERGY
THOMAS JEFFERSON SITE OFFICE**

MANAGEMENT AND SELF-ASSESSMENT PROGRAM

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MANAGEMENT AND SELF-ASSESSMENT PROGRAM

1.0 OBJECTIVE

U.S. Department of Energy (DOE) Policy 226.1A, *Department of Energy Oversight Policy*, states: "DOE Headquarters, field elements and contractor line management must perform self-assessments of its activities, including its oversight activities and activities necessary to support site assurance and mission activities." This procedure describes the roles and responsibilities, and process for conducting and documenting a comprehensive self-assessment of the Thomas Jefferson Site Office (TJSO) as outlined in DOE Policy 226.1A. The intent is for a structured, documented self-assessment program for environment, safety and health; security; cyber security; and emergency management, which complies with DOE requirements. The frequencies of assessments are commensurate with the hazards and risks related to the activity being assessed. In relation to DOE O 414.1C, Quality Assurance, management integrates improvement mechanisms to foster continuous improvement, maintains constant awareness of the assessment program, and evaluates the overall process to determine whether this method meets specified expectations and is performing effectively.

2.0 SCOPE

The primary scope for conducting a site office self-assessment is to measure performance against established goals, objectives, and measures delineated in the TJSO Site Office Annual Performance Plan (APP) and to identify any corrective actions needed for continual improvement. An additional intent of the self-assessment is to improve site office performance, and to identify and implement any necessary actions toward achieving organizational excellence. The results of the self-assessment will be documented in an internal self-assessment report. Results from the self-assessment that relate to the site office's performance against established goals, objectives, and measures will be included in the Site Office Annual Assessment Report (AAR).

3.0 REFERENCES

DOE Policy 226.1A, *Department of Energy Oversight Policy*

DOE O 414.1C, Quality Assurance

4.0 RESPONSIBILITIES

4.1 TJSO Manager and/or Deputy Manager

4.1.1 Establishes on an annual basis the overall TJSO and APP goals, objectives, and performance measures.

4.1.2 Directs that a self-assessment be conducted, and establishes a timeframe for the assessment.

4.1.3 Commissions the performance of the annual TJSO APP Self-Assessment.

- 4.1.4 Commissions the performance of other TJSO self-assessments, as needed.
- 4.1.5 Approves the annual TJSO AAR and, as conducted, self-assessment reports (SARs).
- 4.1.6 Ensures the identified corrective actions and/or lessons learned are appropriately addressed.

4.2 TJSO Staff

- 4.2.1 Contributes towards preparation of the overall TJSO APP goals, performance objectives, and performance measures, and provides feedback to the TJSO Manager and/or Deputy Manager.
- 4.2.2 Develops annual individual goals, objectives, and measures that are in support of, or complement the APP goals, performance objectives, and performance measures, and further TJSO mission accomplishment.
- 4.2.3 Monitors personal performance against established individual, TJSO, and APP goals, objectives, measures, and standards.
- 4.2.4 Participates in the conduct of the annual TJSO APP self-assessment and other self-assessments, as appropriate.
- 4.2.5 Identifies issues and corrective action options, recommends a path forward, and supports (as appropriate) the proactive disposition of any corrective actions and/or lessons learned.
- 4.2.6 Provides an assessment of the self-assessment process and metrics.

5.0 PROCEDURE

- 5.1 On an annual basis, the TJSO Manager/Deputy Manager establishes the overall TJSO and APP goals, objectives, and performance measures.
- 5.2 The TJSO Manager/Deputy Manager directs that a self-assessment be conducted, and establishes a timeframe for the assessment.
- 5.3 The TJSO Manager/Deputy Manager commissions the performance of the annual TJSO APP Self-Assessment and the performance of other TJSO self-assessments, as needed.
- 5.4 TJSO staff develops and reviews the establishment of the overall TJSO APP goals, performance objectives, and performance measures, and provides feedback to the TJSO Manager and/or Deputy Manager.
- 5.5 TJSO staff develops annual individual goals, objectives, and measures that are in support of, or complement the APP goals, performance objectives, and performance measures and further TJSO mission accomplishment.

- 5.6 TJSO staff monitors personal performance against established individual, TJSO, and APP goals, objectives, measures, and standards.
- 5.7 TJSO staff participates in the conduct of the annual TJSO APP self-assessment and other self-assessments, as appropriate.
- 5.8 TJSO staff identifies issues and corrective action options, recommends a path forward, and supports (as appropriate) the proactive disposition of any corrective actions and/or lessons learned.
- 5.9 TJSO staff provides an assessment of the self-assessment process and metrics. This feedback can be performed in a variety of different ways, such as: conducting interviews, utilizing surveys/questionnaires, email solicitations, and/or group discussions.
- 5.10 TJSO utilizes a workshop, staff meeting, or other suitable forum or process (which may be facilitated) that is organized to efficiently analyze the results of a self-assessment, and to identify and discuss any proposed corrective actions and/or lessons learned. This process can be performed in a variety of different ways, such as: conducting interviews, utilizing surveys/questionnaires, email solicitations, and/or group discussions
- 5.11 TJSO evaluates solicited feedback and/or results of workshop/staff meeting and summarizes the results; including corrective actions, lessons learned and/or noteworthy practices for inclusion in the AAR or SAR (see Appendix B).
- 5.12 The appropriate report will be prepared and issued at the completion of the process to document TJSO performance against specified goals, performance objectives and measures, as appropriate.
- 5.13 A corrective action plan (CAP) will be prepared identifying corrective actions to be taken, responsible individuals and completion dates.
- 5.14 The TJSO Manager/Deputy Manager approves the annual TJSO AAR and, as conducted, self-assessment reports (SARs).
- 5.15 The TJSO Manager/Deputy Manager ensures the identified corrective actions and/or lessons learned are appropriately addressed.

6.0 RECORDS

Records are maintained in accordance with this procedure and SOPP 4.7, "Records Management."

APPENDIX A - DEFINITIONS

1. Corrective Action – An identified action needed to correct a deficiency. The action is to address an improvement in a particular area, or to enhance or improve performance, and provide assurance those present and future goals, objectives, and measures are successfully accomplished.
2. Customers – Any individual or organization that receives services or products from TJSO. Customers include organizations such as: DOE Headquarters - Office of Science (SC), Oak Ridge Office (ORO), and Thomas Jefferson National Accelerator Facility (TJNAF) management and operating (M&O) contractor.
3. Self-Assessment – An internal assessment that is conducted to self-evaluate TJSO performance. The APP self-assessment process provides an opportunity to improve the process and increase the ability of TJSO employees to meet the needs and expectations of the site office and its customers. Assessments may also be performed to evaluate other TJSO activities as needed, such as: operational awareness program, policies and procedures, and office operations.
4. Site Office Annual Performance Plan (APP) – The purpose of this plan is to describe what TJSO will do in a given fiscal year (FY) to address DOE and SC priorities, and to manage the TJNAF prime contract. The APP identifies the overall office goals, performance objectives, and performance measures. It will also serve as a roadmap throughout the year for monitoring and tracking performance against those identified goals, objectives, and measures. The APP also serves as a planning and communication tool to provide an overview of the TJSO.
5. Site Office Annual Assessment Report (AAR) – This report documents the results of the annual evaluation of TJSO performance against the APP goals, objectives, and measures. This AAR is for external and internal use by TJSO.
6. Self-Assessment Report (SAR) – This report documents the results of a TJSO self-assessment conducted on non-APP related TJSO performance and activities. The SAR will also include the identification of any recommendations, areas for improvement, lessons learned, and noteworthy practices. The SAR is intended for internal use by TJSO.

APPENDIX B – Preparation of Reports

1.0 SITE OFFICE ANNUAL PERFORMANCE PLAN AND ASSESSMENT REPORT

The APP and ARR will be prepared and issued consistent with the Office of Science guidance.

2.0 SELF-ASSESSMENT REPORT

A Self-Assessment Report (SAR) will be prepared and issued at the completion of the self-assessment process to document TJSO performance against the overall TJSO and APP goals, performance objectives and performance measures. The report should also discuss recommendations, areas for improvement, lessons learned, and noteworthy practices.

The format of the SAR is tailored to the self-assessment by the lead individual and approved by the TJSO Manager or Deputy Manager.