Office of Secure Transportation
Policy Information

Policy Background	
Document Title: Self-Assessment Program	**Document Number:** *(Assigned by POPD)* OST P 1.18B
Document Owner(s): *(Identify by name and organization)* Stan Anderson, POPD	**Policy Approval Authority:** *(Identify by name and title)* Craig A. Tucker, ADA
Notify of Changes to Policy: OST Office Managers and Division/Command Directors	
Record Document(s): *(Documents used as reference or input into Policy; documents developed as a result of the Policy and Forms completed as part of the Policy).* See External/Internal Record Documents in Policy.	

Policy History		
Rev	**Date**	**Description of Change** *(Include name of individual making the revision)*
B	05/08/07	This revises Policy 1.18A, dated 3/8/04. Stan Anderson, POPD.

<p style="text-align: center;">**OFFICE OF SECURE TRANSPORTATION**</p>

<p style="text-align: center;">**POLICY NUMBER: OST P 1.18B**</p>

TITLE: Self-Assessment Program

EFFECTIVE DATE: 05/08/07

PURPOSE: This Policy establishes the guidelines for Offices, Divisions/Commands to identify program, process, project and task strengths and weaknesses; use the results for implementing corrective actions and improvements; provide assurance that Office of Secure Transportation (OST) interests and activities are performing at required levels; and provide a basis for effective decision-making. Inherent to this Policy is the expectation that OST leaders are responsible and accountable for assessing their areas of responsibility.

SCOPE: This Policy applies to all OST Offices, Divisions/Commands.

PROPONENT: Program Office for Planning and Directives (POPD).

EXTERNAL RECORD DOCUMENTS:
- DOE O 151.1C, *Comprehensive Emergency Management System.*
- DOE G 151.1-1, *Emergency Management Guide.*
- DOE O 226.1, *Implementation of Department of Energy Oversight Policy.*
- DOE G 414.1A, *Management Assessment and Independent Oversight Policy.*
- DOE O 440.2B, *Aviation Management and Safety.*
- DOE P 450.4, *Safety Management System Policy.*
- DOE G 450.4-1B, *Integrated Safety Management System Guide.*
- DOE O 470.4, *Safeguards and Security Program.*
- DOE M 470.4-1, Change 1*, Safeguards and Security Program Planning and Management.*

INTERNAL RECORD DOCUMENTS:
- Data Compilation Reports.
- Criteria Review Approach Documents (CRADS).
- Self-Assessment Program Database Corrective Action Plans/Root Cause Analysis.
- OST SOP, *Conduct of Self-Assessments (to be published).*

<p style="text-align: center;">**POLICY**</p>

1. **Objectives/Expectations**
   a. Implementation of a formal program and standard operating procedure for identifying and correcting weaknesses/deficiencies and improving mission capability and mission readiness.
   b. The focus of the Self-Assessment Program will be to ensure continuous improvement.

c. Office Managers, Division/Command Directors shall understand the benefit to conducting self-assessments. Self-assessments shall become inherent in the performance of assigned programs, projects, processes and tasks.

d. Division/Command Directors will identify programs, projects, processes and tasks requiring self-assessment.

2. Responsibilities

a. Self-Assessment Program Manager (SAPM):

    (1) Assists Division/Command Directors on an annual basis to develop a schedule of self-assessments.

    (2) Assists Assessors in developing CRADS and conducting assessments, where requested.

    (3) Compiles Data Compilation Reports received from Assessors.

    (4) Inputs findings into the Self-Assessment Database and solicits status of corrective actions from Division/Command Directors on a quarterly basis.

    (5) Provides Assessor training on root cause analysis and corrective action plan development, as requested.

b. Division/Command Directors:

    (1) Identifies programs, projects, and tasks within their organization or across organizational lines to be assessed on an annual basis. Schedules self-assessments and submits schedule to SAPM.

    (2) Identifies federal or contractor employees to conduct self-assessments who are assigned the responsibility for completion of programs, projects and tasks.

    (3) Ensures Assessors are trained or mentored prior to conduct of assessments.

    (4) Ensures actions identified in corrective action plans are completed.

APPROVING OFFICIAL:

Craig A. Tucker, Assistant Deputy Administrator
Office of Secure Transportation

8 May 07
Date