

**Office of Secure Transportation
Standard Operating Procedure Information**

SOP Background		
Document Title: Conduct of Self-Assessments		Document Number: <i>(Assigned by POPD)</i> OST SOP 1.00.03
Document Owner(s): <i>(Identify by name and organization)</i> Stan Anderson, POPD		Approval Authority: <i>(Identify by name and title)</i> Michele Mancuso-Nelson, Chief, POPD Dennis J. Reese, PDADA
Notify of Changes to SOP: Division/Command Directors		
Document(s): <i>(Documents used as reference or for input into SOP; documents developed as a result of the SOP; and Forms utilized in the performance of the SOP)</i> DOE O 151.1C; DOE G 151.1-1; DOE P 450.4; DOE G 450.4-1B; DOE O 470.4, DOE M 470.4-1, Criteria, Review, Approach Document (CRADS); Self-Assessment Report/Data Compilation Report (DCR); Corrective Action Plans (CAPS); Root Cause Analysis		
SOP History		
Rev.	Date	Description of Change <i>(Include name of individual making the revision)</i>
0	07/03/07	New SOP. Stan Anderson

Prepared By:

Stan Anderson

Stan Anderson, Program Analyst
Program Office for Planning and Directives
Office of Secure Transportation

6/15/07
Date

Approved By:

Michele Mancuso-Nelson

Michele Mancuso-Nelson, Chief
Program Office for Planning and Directives
Office of Secure Transportation

6/15/07
Date

Dennis J. Reese

Dennis J. Reese
Principal Deputy Assistant Deputy Administrator
Office of Secure Transportation

7/3/07
Date

Signature indicates agreement to implement the Self-Assessment Program and this SOP:

Michael Connor

Michael Connor
Deputy Assistant Deputy Administrator
Office of Secure Transportation

6/20/07
Date

Richard L. Devine

Richard L. Devine
Manager, Office of Training and Logistics
Office of Secure Transportation

6/19/07
Date

Michael D. Flynn

Michael D. Flynn
Manager, Office of Mission Operations
Office of Secure Transportation

6/20/07
Date

Richard H. Richey

Richard H. Richey
Manager, Office of Support
Office of Secure Transportation

6/19/07
Date

I. Purpose

This SOP establishes the guidelines for Divisions and Commands to identify program, process 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; provide a basis for effective decision-making; and, to establish the responsibility and accountability of OST Leaders for assessing their areas of responsibility.

II. Scope

This SOP applies to all OST Offices, Divisions and Commands.

III. Responsibilities

Self-Assessment Program Manager (PM): Manages and implements the OST Self-Assessment Program; meets with Division/Command Directors (DD/CD) and Branch Chiefs on an annual basis to develop a schedule of self-assessments; meets with identified assessors to develop Criteria, Review, Approach Documents (CRADS) or other requirements documents; assists in assessments, where requested; solicits and compiles Self-Assessment Reports received from assessors; inputs corrective action plans and findings into the Self-Assessment Database; and solicits status from Divisions/Commands on a quarterly basis.

DD/CD: Identify programs, processes and tasks within their organization or across organizational lines to be assessed on an annual basis; schedule self-assessments and submits schedule to the PM; identify individuals to conduct self-assessments; ensure Assessors are trained to conduct assessments; and, ensure actions identified in corrective action plans are implemented.

Assessors: Conduct self-assessment in areas of responsibility; develop CRADS or other similar requirement documents for utilization during conduct of self-assessments; attend training, as needed, to effectively conduct assessments; complete Self-Assessment Reports and submit to the PM; and conduct Root Cause Analysis and develop Corrective Action Plans (CAP) based on Root Cause Analysis results.

Topical Area Subject Matter Advisors (SMA): Assist and support Divisions/Commands in the development of CRADS or other similar requirement documents, conduct of self-assessments, determination of root cause, and development and closure of CAPs.

IV. Definitions

Self-Assessment - A formal process for identifying and correcting deficiencies in programs, processes and tasks to improve performance and promote best practices.

Finding - A deficiency identified during a self-assessment that indicates non-compliance or poor performance in a program, process or task.

Observation - Minor deviations identified during a self-assessment that require actions to be identified to ensure best practices are implemented.

CRAD - Similar to a “checklist,” the CRAD identifies requirements that must be met in order for a program, process or task to be successful. CRADS or other similar requirement documents include order requirements, policy requirements, and best practices that will be evaluated to determine the comprehensiveness and completeness of a program. CRADS also identify documents that require review, titles of individuals to be interviewed and any other required data collection, observation, or limited scope performance tests to be conducted during the self-assessment.

Root Cause Analysis - Methodology utilized to determine the root cause of a finding or event. The identification of the root cause allows for the implementation of actions that are adequate to prevent recurrence of the finding.

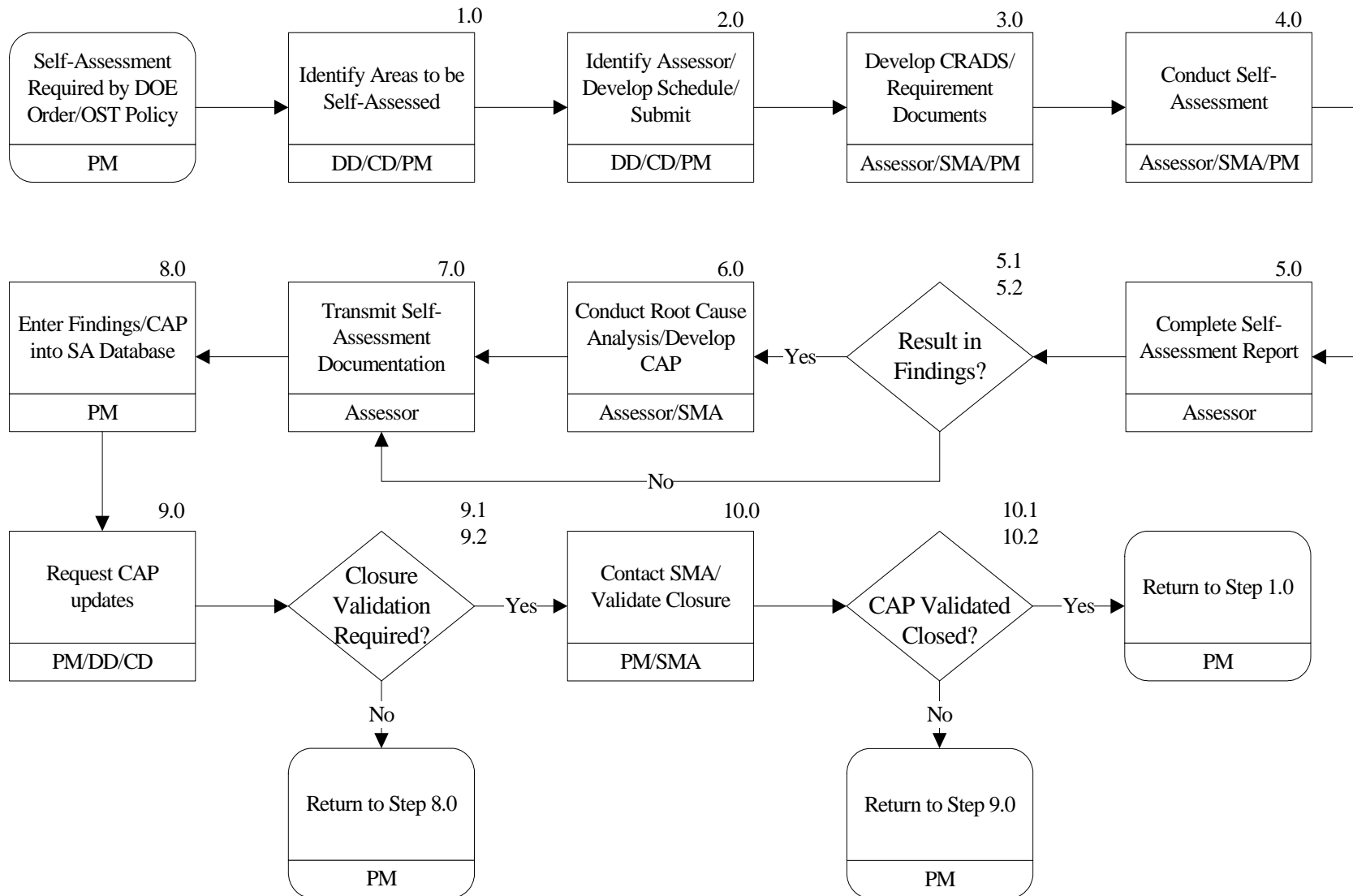
Corrective Action Plan (CAP) - A CAP identifies actions and timeframes for implementation of actions. CAPs are based on documented root cause analysis and include milestones that are realistic and achievable.

Satisfactory Rating - Expectations and requirements have been met.

Marginal Rating - Multiple deficiencies that are systematic, cross-cutting, and/or recurring and can/will affect technical performance.

Unsatisfactory Rating - Failure to fulfill an essential requirement, lack of a required program or a widespread failure.

V. Process



1.0 Identify Areas to be Self-Assessed

In accordance with DOE Orders and OST Policy, the DD/CD, with assistance and support from the Self-Assessment PM and topical/program area SMA, if requested, will identify programs, processes, tasks, or critical support functions to be self-assessed. The identification of programs, processes, tasks or critical support functions is based on order requirements, past surveys and assessments, areas needing to be baselined and documented, and the need for improvements.

2.0 Identify Assessor/Develop Schedule/Submit

The DD/CD will designate an individual(s) from within his/her organization to conduct the self-assessment of the identified program, process, task, or critical support function. The Assessor will have knowledge of the program, process, task or critical support function identified for self-assessment. The Assessor will also be trained in the conduct of self-assessment, whether through formal training or through shadowing assignments on previous self-assessment activities.

The DD/CD will develop a schedule of self-assessments to be performed within their organization for the fiscal year, to include timeframes and the names of the individuals who will conduct each self-assessment. The DD/CD will submit the schedule to the Self-Assessment PM. The Self-Assessment PM will publish a master self-assessment schedule and provide to the Senior Leadership Council and DD/CD. In instances where the self-assessment requires participation from other organizations or functional area SMA's, the Self-Assessment PM will assist in the coordination of the schedule.

3.0 Develop CRADS/Requirement Documents

The Assessor, with the assistance of the SMA and/or Self-Assessment PM, will develop a CRAD or other similar requirement document for the program, task or function to be self-assessed. If a CRAD or other requirement document exists, the Assessor will ensure it is current by conducting a comparison against orders and policies and will update accordingly and submit the revised CRAD to the Self-Assessment PM.

4.0 Conduct Self-Assessment

The Assessor will conduct the self-assessment by conducting interviews, document reviews, observations, and limited scope performance tests as described in the CRAD or requirement documents.

SMA's and the Self-Assessment PM will assist/support Assessors in the conduct of self-assessments, as needed.

5.0 Complete Self Assessment Report

The Assessor will complete a comprehensive Self-Assessment Report for the self-assessed area. The Self-Assessment Report will be completed within 30 days following the self-assessment.

- 5.1 If the self-assessment results in findings, the Assessor will proceed to step 6.0.
- 5.2 If the self-assessment does not result in findings, the Assessor will proceed to step 7.0

6.0 Conduct Root Cause Analysis/Develop CAP

The Assessor, with assistance from an SMA or the Self-Assessment PM if requested, will conduct a root cause analysis to determine the root cause for the finding and will document the results of the analysis. Once the root cause is determined, the Assessor, with the assistance/support of a SMA or the Self-Assessment PM, if required, will develop a CAP.

7.0 Transmit Self-Assessment Documentation

The Assessor will transmit the completed Self-Assessment Report, along with the root cause analysis documentation and CAP to the Self-Assessment PM within 45 days following the completion of the Self-Assessment (or within two weeks of completing the Self-Assessment Report).

8.0 Enter Findings/CAP into Self-Assessment Database

The Self-Assessment PM will enter findings/corrective actions into the self-assessment database.

9.0 Request CAP Updates

The Self-Assessment PM will request CAP updates from the DD/CD on a quarterly basis. Once all corrective actions have been completed per the DD/CD, the Self-Assessment PM will contact a SMA to validate closure of the CAP.

- 9.1 If closure validation is required, the Self-Assessment PM will proceed to step 10.0
- 9.2 If closure validation is not required, the Self-Assessment PM will return to step 8.0

10.0 Contact SMA/Validate Closure

The Self-Assessment PM will contact a SMA to coordinate the closure validation for CAPs. The SMA will determine whether actions have been completed and will document how closure validation is determined and will submit documentation to the Self-Assessment PM.

- 10.1 If the CAP is validated closed, the SMA will submit validation justification to the Self-Assessment PM and the Self-Assessment PM will return to step 1.0.
- 10.2 If the CAP is not validated closed, the Self-Assessment PM will return to step 9.0.

The Self-Assessment PM submits finding/CAP information to the Program Office for Planning and Directives on a regular basis for trending/tracking of closure. All records pertaining to this SOP are retained in accordance with records management requirements.