

OPERATIONS ORGANIZATION AND ADMINISTRATION

1.0 Objective

The objective of this surveillance is to verify that the operations organization has clearly defined roles and responsibilities and that those roles and responsibilities are understood by operations personnel. This surveillance also verifies that management goals and objectives with regard to safety and facility performance have been established and are understood by laboratory personnel. This surveillance provides a basis for evaluating the effectiveness of the laboratory's program for operations organization and administration and for establishing compliance with DOE requirements.

2.0 References

- 2.1 DOE 5480.19, *Conduct of Operations Requirements for DOE Facilities*
- 2.2 DOE-STD-1032-92, *Guide to Good Practices for Operations Organization and Administration*

3.0 Surveillance Activities

These surveillance activities include review of the laboratory organizational structure and its status and the review of selected management policies including the establishment of laboratory safety and performance goals and objectives. This surveillance also includes interview of facility management and operations personnel in regard to their understanding of the organizational structure, their knowledge of their roles and responsibilities, and their understanding of those management policies. Activity 3, which is an interview of a person at each organizational level of the facility, may be repeated as needed to encompass a more representative sample of facility personnel.

Activity 1 - The Facility Representative or Environmental, Safety, and Health Support Specialist reviews the laboratory organizational structure, support organizational interfaces, laboratory staffing plans, personnel roles and responsibilities, performance standards, and management policies with regards to personnel accountability, laboratory safety, and performance goals and objectives, overtime, and management walkthroughs.

Activity 2 - The Facility Representative or Environmental, Safety, and Health Support Specialist interviews the Facility Manager regarding the organizational structure and staffing and the selected management policies.

Activity 3 - The Facility Representative or Environmental, Safety, and Health Support Specialist interviews a person at each organizational level of the laboratory regarding their understanding of their roles and responsibilities and of the selected management policies.

Surveillance Guideline
OPERATIONS ORGANIZATION AND ADMINISTRATION

Surveillance No.: _____

Facility: _____

Date Completed: _____

YES NO N/A

Activity 1 - Review of facility organizational structure and selected management policies

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|-----|---|-------|-------|-------|
| 1. | Is the organizational structure well-defined and established in writing? | _____ | _____ | _____ |
| 2. | Have the roles and responsibilities been established for each organizational level? | _____ | _____ | _____ |
| 3. | Have the roles of support organizations been defined? | _____ | _____ | _____ |
| 4. | Have roles and responsibilities been defined for each job position? | _____ | _____ | _____ |
| 5. | Have performance standards been established and implemented for each organizational level or position? | _____ | _____ | _____ |
| 6. | Do the performance standards address current functional responsibilities? | _____ | _____ | _____ |
| 7. | Has a long-range staffing plan been established that takes into account career advancement, attrition, and changing mission priorities? | _____ | _____ | _____ |
| 8. | Have personnel accountability practices and management expectations been established and clearly communicated to the employee? Are they defined in writing? | _____ | _____ | _____ |
| 9. | Has management established safety and performance goals and objectives for the facility? Are the safety and performance goals defined in writing? | _____ | _____ | _____ |
| 10. | Are the safety and performance goals tracked and trended? | _____ | _____ | _____ |

OPERATIONS ORGANIZATION AND ADMINISTRATION (cont.)

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
11. Has a facility policy been established for use of and limits on overtime?	_____	_____	_____
12. Has a policy been established for management walkthroughs of the facility?	_____	_____	_____
Activity 2 - Interview with Facility Manager			
13. Is the facility staffing adequate to meet facility goals and objectives without excessive use of overtime?	_____	_____	_____
14. Is the use of overtime being tracked and is it within established limits?	_____	_____	_____
15. Is the support provided by support organizations adequate to meet the facility mission, goals, and objectives (Engineering, Radiological Controls, Administration, etc.)?	_____	_____	_____
16. Are personnel accountability standards being implemented?	_____	_____	_____
17. Do the facility safety and performance goals and objectives reflect the safety goals and objectives of upper organizational levels and upper level management?	_____	_____	_____
18. Were facility personnel at the working level involved in the development of the facility safety and performance goals and objectives?	_____	_____	_____
19. Are the facility safety and performance goals being tracked and trended?	_____	_____	_____
20. Are the safety and performance goals being met?	_____	_____	_____
21. Are action plans established to meet safety and performance goals which are not being met?	_____	_____	_____
22. Is the policy for management walkthroughs of the facility being met?	_____	_____	_____

Surveillance Guideline
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YES NO N/A

- | | | | | |
|-----|---|-------|-------|-------|
| 23. | Are the management walkthroughs of the facility being documented? | _____ | _____ | _____ |
| 24. | Are deficiencies noted on the management walkthroughs of the facility being documented and corrected? | _____ | _____ | _____ |
| 25. | Are deficiencies noted by other organizations (Quality Assurance, Facility Representative, external oversight organizations, etc.) being tracked, trended, and corrected? | _____ | _____ | _____ |
| 26. | Are deficiencies noted by other organizations reflected in the status of facility safety and performance goals and objectives? | _____ | _____ | _____ |

Activity 3 - Interview of a person at each organizational level of the operations organization

- | | | | | |
|-----|---|-------|-------|-------|
| 27. | Do the interviewees understand their roles and responsibilities? | _____ | _____ | _____ |
| 28. | Do the interviewees have adequate support to implement their roles and responsibilities? (Management support, administrative support, facilities and equipment, training, etc.) | _____ | _____ | _____ |
| 29. | Does the interviewee understand the operations organizational structure? | _____ | _____ | _____ |
| 30. | Do the interviewees understand their performance standards? Are those performance standards applicable to the roles and responsibilities and achievable? | _____ | _____ | _____ |
| 31. | Does the interviewee understand the personnel accountability standards that have been established for the facility and are they enforced? | _____ | _____ | _____ |
| 32. | Does the interviewee understand the management safety and performance goals for the facility? | _____ | _____ | _____ |

**Surveillance Guideline
 OPERATIONS ORGANIZATION AND ADMINISTRATION (cont.)**

- | | | <u>YES</u> | <u>NO</u> | <u>N/A</u> |
|-----|--|------------|-----------|------------|
| 33. | Does the interviewee understand the current status of the safety and performance goals and what actions are being taken to attain those goals and standards? | _____ | _____ | _____ |

Surveillance Guideline
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PERSONNEL CONTACTED: _____

**IF MORE SPACE IS NEEDED FOR FINDINGS, OBSERVATIONS, AND FOLLOWUP
ITEMS - USE ADDITIONAL SHEETS**

FINDINGS:

Finding No.: _____

Description: _____

Finding No.: _____

Description: _____

Surveillance Guideline
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Finding No.: _____

Description: _____

OBSERVATIONS:

Observation No.: _____

Description: _____

Observation No.: _____

Description: _____

Surveillance Guideline
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Observation No.: _____

Description: _____

FOLLOWUP ITEMS:

Followup Item No.: _____

Description: _____

Followup Item No.: _____

Description: _____

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OPERATIONS ORGANIZATION AND ADMINISTRATION (cont.)

Followup Item No.: _____

Description: _____

LABORATORY MANAGEMENT DEBRIEFED AND RESULTS: _____

Signature: _____ Date: _____

Facility Representative or
Environmental, Safety, and Health Support Specialist