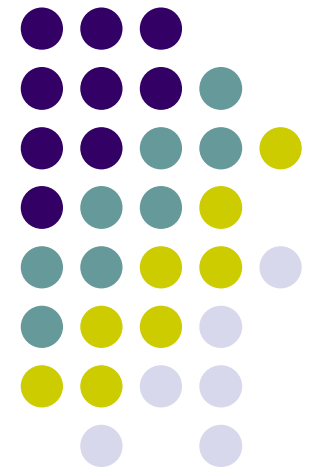


# “EFCOG’s Knowledge Portal Review” 2012 Waste Management Symposium NNSA Governance and Effectiveness Reviews



Presented by

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Panel Session 51  
February 28, 2012



# Contractor Assurance Working Group Organization Chart



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Director, Office of Integrated Performance Management  
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Manager, Performance Analysis and Reporting Section  
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**William H. Roege**

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# NNSA Governance



# NNSA Governance Model

## Critical Factors



- Rigor and implementation of oversight for nuclear and high-hazard activities is maintained and enhanced; oversight for other activities is graded based on risk
- NNSA's system of management controls is clearly and specifically defined to ensure a common understanding
- NNSA's requirements and standards system leverages commercial industry standards and requirements to effectively and efficiently accomplish the mission of achieving programmatic objectives in a safe, secure, and compliant manner with environmental standards

# NNSA Governance Model

## Critical Factors



- R2/A2s at NNSA HQ, Site Offices, and Contractor organizations are clearly aligned; all personnel work effectively on implementation
- Specific and objective metrics establish a performance baseline, measure the effectiveness and efficiency of the mission accomplishment, and incorporate feedback and improvement mechanisms
- Programs and support functions are benchmarked with industry standards to ensure they are providing the desired results



# Roles and Responsibilities

- Minimize duplication of effort
- Improve integration
- Move decision authority closer to the work
- Increase accountability

## **M&O Specific**

- Rigorous reviews for nuclear and high hazard activities
- Determine/recommend the most cost effective means of accomplishing the mission
- Establish, implement, and execute a comprehensive, effective, and sound performance assurance program
- Create and maintain a transparent assurance system
- Attract and maintain the highest quality workforce

# Requirements Analysis Process/CAS



## **Requirements Analysis:**

- Focus requirements on outcome, not process
- Use voluntary consensus standards where possible
- Allow flexibility and expect innovation/performance improvement

## **Contractor Assurance System (CAS) Purpose:**

- Measure, improve, and demonstrate performance and ensure that mission objectives/contract requirements are met
- Integrate its governance and management systems to achieve acceptable contract performance outcomes and provide assurances to NNSA/DOE that it will deliver on mission objectives
- Provide transparency, build trust, ensure alignment to accomplish mission needs, and allow NNSA/DOE to optimize its oversight functions by leveraging the processes/outcomes of its Contractors

# Integrating Assessment Efforts/Contractor Performance Evaluation



## Integrating Assessment Efforts:

- Multiple levels of internal oversight (DOE/DOE HQ, NNSA/DOE Site Offices, Contractors)
- Integrate efforts – eliminate unnecessary redundancy (Shift from a “directive-based” to a “risk informed” assessment identification process model - from independently developed Site and HQ assessment plans to integrated plans)
- Maintain independence and overlap where appropriate

## Contractor Performance Evaluation:

- Increase accountability for performance
- Enhance evaluation approach and criteria
- NAP-21, *Transformational Governance and Oversight*



# NNSA Governance Effectiveness Reviews



## Two Phases:

### 1. Validation

- Performed by Site contractor or other independent organization
- Evaluate the effectiveness of the Contractor's CAS
- NAP-21 two stages:
  1. Review design for compliance with contract
  2. Determine Readiness for Affirmation
- No federal involvement

### 2. Affirmation

- Performed by an independent federal team
- Performed after successful validation
- Evaluates Contractor and Site Office (LOCAS)
- NAP-21 specifies criteria in Attachment 4
- Site Manager decides when



# Summary

**Governance Goal:** A smaller and less expensive enterprise that leverages the scientific and technical capabilities of the workforce and infrastructure to meet the nuclear security mission safely and securely

What Governance is **NOT:**

- An effort to eliminate Federal oversight for critical safety/security functions
- An effort to achieve program accomplishment at the expense of safety, security or environmental performance