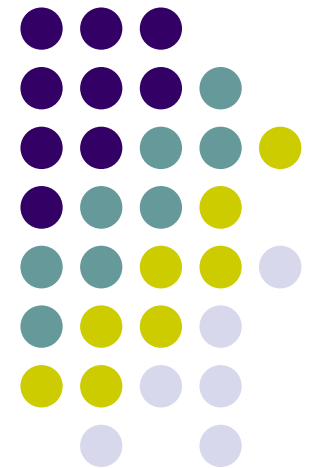


EFCOG Contractor Assurance System (CAS) Effectiveness Best Practice



John McDonald
Washington River Protection Solutions, LLC
Task Team Chair
Waste Management Conference
March 7, 2017





Task Team Members

EFCOG Contractors	DOE Participants
<p>Ray Skwarek, EFCOG Board Sponsor John McDonald, Co-Chair, WRPS Juan Alvarez, INL Jan Preston, Fluor Brian Andrews, CNS Patricia Allen, SRR Mike Hassell, CHPRC Steve Halter, KC NSC Lori Fritz, Bechtel, WTP</p>	<p>Pat Worthington, Co-Chair, AU Sharon Steele, NNSA Scott Nicholson, EM Jeff Eichorst, EM Danny Field, NNSA Todd LaPointe, SC Jim Hutton, EM Robert Boston, NE</p> <p>Others: John Abrefah, DNFSB John Longenecker, EFCOG Jay Rhoderick, EFCOG David Weitzman, DOE Tom Griffith, DOE</p>



Related DOE Requirements

- **DOE P 226.2, *Policy for Federal Oversight and Contractor Assurance Systems, 8/9/16***
 - Emphasizes the importance of establishing and maintaining productive relationships between contractor, Federal, and corporate parent personnel. (corporate inclusion is new)
- **DOE O 226.1B, *Implementation of Department of Energy Oversight Policy, dated April 25, 2011 (CRD)***
 - The CAS must include a method for validating the effectiveness of assurance system processes.

Key CAS Effectiveness Attributes



1. Organizational Learning:

The laboratory partner or contractor achieves improvement in mission execution by: conducting proactive, credible, and critical assessments and analysis of performance, including abnormal events; identifying, correcting, and closing issues; performing trend analysis; generating and applying lessons learned; and conducting routine performance monitoring. Improvement in mission performance and risk reduction resulting from CAS related efforts is evident.

2. Management Leadership:

CAS information is an integral part of management and leadership decision-making. Management's use of CAS should result in a positive effect on mission execution and sustainability of improvements. An actively engaged management addresses issues and communicates actions and results in a timely manner.

3. Employee Engagement:

Workers are actively engaged in improving performance.

Key CAS Effectiveness Attributes



4. Risk Informed:

Risk management is a foundational element of CAS; it enables management to optimize performance. The CAS is risk informed and focused on outcome.

5. Work Conducted by Others:

The contractor ensures CAS appropriately integrates work conducted by others (e.g., subcontractors, other DOE contractors, university or industry partners, and other federal agencies).

6. Governance Engagement:

Corporate governance entities are informed by CAS and constructively engaged in monitoring performance information, and steering/supporting needed improvements.

7. Credible, Objective, and Transparent:

Trust, accountability, transparency, integrity and respect are maintained through all organizational levels via increased communication and integration of CAS. The CAS effectively informs DOE oversight.



CAS Validation Approaches

- Contractor Peer Review
- Parent Company Assessment
- Pre-Performance Evaluation and Measurement Plans (PEMP) Review Self-Evaluation
- Periodic Integrated Safety Management System (ISMS) Effectiveness Review
- Other Internal or External Assessments

Final Thoughts



- This BP can be tailored for application at all DOE sites
- A CAS is effective when:
 - Leadership and employees are engaged, demonstrating ownership and accountability for using and achieving results from CAS activities;
 - Risks are identified and managed with decisions being risk-informed – what is important gets done;
 - The organization learns from its successes and failures and from those of others;
 - There is trust and transparency among the partners; results of CAS are broadly shared internal and external to the organization;
 - CAS drives continuous feedback and performance improvement with identification and correction of negative performance/trends before they become significant issues.