

Contractor Assurance

EFCOG ISM Working Group

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Contractor Assurance – What is it?

- **Comprehensive and integrated management system that enables safe, secure, effective, and efficient mission accomplishment**
- **DOE Order 226.1 and 226.1A – CAS encompasses ES&H, Safeguards and Security, Emergency Management, Cyber Security, and Business Practices (226.1 only)**
- **Many sites have expanded scope of CAS to include all activities that support mission delivery (i.e., an integrated management system)**
- **Provides the management team fact-based information needed to take action**

Elements of Contractor Assurance per DOE O 226.1

- **Assessments (self-, management , internal independent, third-party assessments)**
- **Operational Awareness Activities (e.g., management walk-throughs)**
- **Quality Assurance Programs**
- **Lessons Learned Programs**
- **Worker Feedback Mechanisms**
- **Performance Indicators / Measures**
- **Accident Investigations and Event Reporting Processes**
- **Analysis of Causes**
- **Corrective Action Identification, Tracking, and Closure**
- **Verification of Effectiveness**
- **Analysis of Trends**

Characteristics of an Effective Contractor Assurance System

- **Focused on Mission Deliverables and Strategic Objectives**
- **Owned by Line Management (not oversight)**
- **Allows identification of deficiencies and opportunities for improvement to better ensure protection of the public, workers, environment and national security assets**
- **Includes, at a minimum, all elements of CAS as directed by the contract**
- **Underpins the management system used by the Contractor (i.e., built in, not bolted on)**
- **Transparent to DOE oversight – enables DOE to optimize federal oversight resources**
- **Customized to each site's needs (i.e., not a one-size-fits-all program)**
- **Promotes continuous improvement**

EFCOG CAS Working Group

- Established in Spring of 2007
 - Kick-off meeting in August
 - Identified characteristics and benefits of CAS as well as potential elements
 - Established initial sub-groups:
 - Risk Management
 - Lessons Learned
 - Contractor Assurance Elements
 - Line Oversight
- DOE Sponsor: Arnold Guevara, Office of Enforcement
- Focus: Use of performance-based contracting tools and systems to promote more effective and efficient contractor management and enhanced interface with federal oversight and contract administration.
- Coordinates with other federal and contractor groups that are working on CAS, e.g., the National Laboratory Improvement Council (NLIC), and NNSA's Line Oversight and Contractor Assurance System (LOCAS) Integration Council

Contractor Assurance and ISM

- CAS and ISM complement each other
- ISM Supplemental Guiding Principles – CAS Elements
- Mutual interest to promote improved performance
- Commonality between the various feedback and improvement processes and tools and CAS elements
- Next CAWG Meeting is scheduled for November 8 and 9
 - ISM Working Group invited and encouraged to attend
 - CAWG will actively engage ISMWG members to collaborate