EFCOG/DOE CAS Effectiveness Task Team Charter

November 10, 2016

Approved by:

Matt Moury:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Ray Skwarek:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Task:

* Develop an EFCOG Best Practice Guide that describes a consensus, objective, and transparent approach for determining CAS program effectiveness by April 30, 2017. This approach would create a vehicle for CAS continuous improvement and organizational learning. The goal is for the Best Practice to be a consensus of team participants.

Background:

* EFCOG has had more than a decade of experience working on CAS related activities. This effort will build on that experience.
* With increasing value, attention, and scrutiny being placed on the Contractor Assurance System (CAS) by the DOE, the DNFSB, outside organizations, and contractors, the need to objectively and transparently determine how well a CAS is functioning has taken on rapidly increasing priority.
* The CAS is a critical part of an organization’s ISMS and governance. The foundation of an effective CAS is an ISMS culture which values self-assessment, self-identification of issues, timely and effective corrective actions, and diverse performance monitoring.
* Because of its importance and complexity, CAS is a process that should benefit from individual companies and organizations sharing lessons learned and best practices to more effectively implement and determine effectiveness.
* Improved long term CAS performance should result from DOE and its contractors using a common approach to determine effectiveness, and sharing lessons learned across the sites and programs.
* This team consists of a diverse group of senior level DOE and EFCOG members representing all major segments of the DOE.
* It is desirable for team members to have experience in managing and implementing CAS programs.

Participants:

* EFCOG Sponsor Ray Skwarek, EFCOG Board Member, UCOR, AECOM
* DOE Sponsor Matt Moury, DOE-AU
* Chair John McDonald, EFCOG Safety Working Group Chair, WRPS, EM
* Co-Chair Pat Worthington, DOE-AU
* Contractors
	+ - Jan Preston, FLUOR, Corporate, EM
		- Lori Baker, Bechtel, NNSA
		- Juan Alvarez, Battelle, SC/NE
		- Steve Halter, Honeywell, NNSA
		- Mike Hassel, CHPRC, EM
		- Patricia Allen, SRR, AECOM, EM
* DOE
	+ - Jim Hutton, DOE EM
		- Robert Boston, DOE NE
		- Todd Lapointe, DOE SC
		- Steve Erhart, DOE NNSA
		- Doug Hintze, DOE EM LANL FMC
		- Scott Nicholson, DOE EM SR
		- Jeff Eichorst, DOE EM ORP
		- Sharon Steele, DOE NNSA
* DNFSB Chris Roscetti
* Interested Reviewers:
	+ - JR Ricciardelli, Honeywell
		- Greg Meyer, FLUOR, EM
		- Mike Schlender, PNNL, SC
		- Geoff Beausoleil, DOE, NNSA
		- Dennis Miotla, DOE
		- Mat Moury, DOE
		- Ingrid Kolb, DOE
		- Greg Sasson, DOE, EM
		- Stacy Charbonneau, DOE, EM
		- Jim McConnell, DOE, NNSA
		- Patrick Cahalane, DOE, NNSA
		- Jeff Roberson, DOE, NNSA
		- Todd LaPointe, DOE, SC
		- David Weitzman, DOE, AU
		- Berta Schreiber, DOE MA
* Support Personnel
	+ - Don Prexil, EFCOG
		- Jay Rhoderick, EFCOG

Approach:

* An EFCOG proposal describing the task and deliverables. A letter was submitted via letter from the EFCOG Chair to Ingrid Kolb and Mat Moury (DOE) on October 26, 2016, notifying them of the task and requesting DOE participation.
* Contractor participants representing major DOE programs.
* DOE selected DOE participants.
* Care will be taken to ensure that major programs within DOE are represented by both contractor and DOE managers.
* It is desirable for participants to have experience in managing and implementing participants with CAS experience.
* Meetings will be held monthly in Washington DC, or other mutually convenient location, from November through March. Meeting location may change with consensus of the group, for example to avoid weather disruption.
* Subgroups may be formed to prepare material for subsequent meetings.
* Teleconference meetings may also be held in addition to regular in person meetings to ensure tasks are on track.
* Agendas will be prepared and sent out for review prior to each meeting.
* Meeting objectives, goals, products, and outcomes for each meeting will be defined.
* The goal is for decisions made by the team l be by consensus, but chair/co-chair may recognize a strong majority as an alternative decision making process. Dissenting views should be documented in meeting minutes.
* EFCOG will facilitate contractor dialogue with DOE HQ and field involvement, in the spirit of improving the overall program governance.
* Minutes will be issued for each meeting. This will be the responsibility of the chair to prepare and issue them in a timely manner. A secretary may be designated among meeting participants to assist with this task.
* An EFCOG webpage will be established which will contain relevant reference material for team review and awareness.

Deliverable:

* An EFCOG Guide/Best Practice will be developed as an outcome of this task.
* It is anticipated that it will be 5-10 pages in length.
* It will contain key attributes of a CAS Effectiveness review process.
* It will provide enough detail to allow the activity to be performed by experienced CAS contractor program personnel.
* The process should be objective and transparent.
* The process should address risk management. The occurrence of a high risk event should result in program evaluation and change.
* The process should be useable at any DOE facility with a functioning CAS program.
* The process should allow for a graded approach based on factors to be determined by the team.
* The process should result in a contractor developed product that meets the needs of the responsible federal oversight manager.

EFCOG Authorized Work Activity:

* With agreement with and participation by DOE in this activity, DOE has authorized this EFCOG activity in FY2017. Travel costs and labor expenses incurred by contractor participants and identified support personnel are authorized under current contract scope. A change to the EFCOG Safety Working Group FY2017 Annual Work Plan has been submitted to Pat Worthington for approval.

Activity Timeline:

Activity Dates (1-2 days, all dates tentative)

Task Team selection November 8, 2016

Task Team Meeting November 16, 17 2016 – DC

* Expected products or outcomes from each task team member.
* Possible solutions to address the issue.
* Outline of what the end product will contain.
* Benchmarking results of similar industries. (IAEA, NRC, INPO, other)
* Depending upon outcome of team selection, a conference call may need to be conducted instead of an in person meeting in DC. .

Task Team Meeting December 6, 7 – DC

* Agree on common understanding of CAS elements.
* Identify areas of agreement and disagreement from previous meeting.
* Discuss areas of disagreement to reach consensus.

Task Team Meeting January 10, 11 – DC

* Subgroup breakout sessions to begin drafting each section of the final document.
* Subgroup presentations to task team with any areas of disagreement captured.
* Begin discussions on areas of disagreements and work toward consensus resolution.

Task Team Meeting February 7, 8 – DC

* Continue discussions on areas of disagreements and work toward consensus resolution.
* Update draft subsections with discussion results.

Task Team Meeting March 7, 8 – DC

* Finalize Draft Product. Make changes as needed.

Draft Product Review outside of Task Team March 8-24

* Perform comment resolution with reviewers and team.

Final Product Issued as EFCOG Best Practice March 31