EFCOG EXTERNAL ASSESSMENT & EVALUATION LOGISTICS GUIDE

PROJECT OVERVIEW

Goal - Develop an EFCOG Guidance Document and associated tools to:

- Help VPP/Safety Culture/CAS SMEs effectively support external assessments/reviews
- Capture existing good practices and lessons gleaned from experience
- Coach new colleagues who may be less familiar with such assessment activities

Roles

- Federal/ORAU Advisors – provide initial and ongoing input on "pain points," review draft product
- EFCOG Members – draft guidance document and tools
- Facilitator/Process Improvement – ensure project stays on track and identify opportunities to make the process efficient and consistent

PROJECT OVERVIEW (CONT.)

Schedule

- Voice of the Customer – January - February 2024

- Draft guide – February – August 2024

- Tech edit and review – August – September 2024

- Publication – October 2024

EFCOG

ENERGY FACILITY CONTRACTORS GROUP

External Assessment & Evaluation Logistics Guide: A Resource Guide for the DOE Community

Generated by the Integrated Safety Management and Contractor Assurance System Working Groups

Issue Date: 10-14-2024

Available on the EFCOG website:

https://efcog.org/wp-content/uploads/Wgs/Safety%20Working%20Group/

_Contractor%20Assurance/Documents/EFCOG%20External%20Assessment%20%20Evaluation%20Logistics%20Guide_Signed.pdf
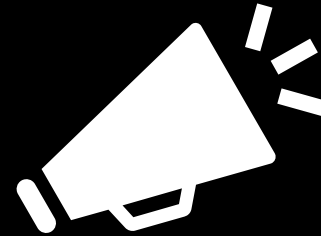
- **Topic 1 – Communications**
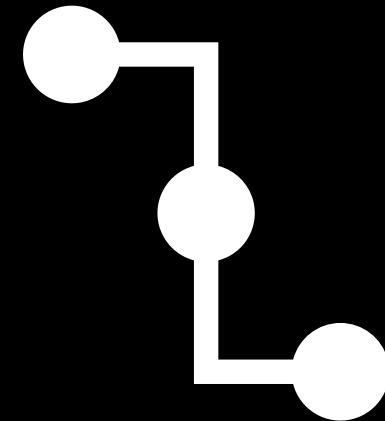 - General
  - Targeted

- **Topic 2 – Pre-Assessment Surveys**
  - Reference information for those supporting or subcontracting
  - Obtain IRB approval
  - Consider holidays, overlapping survey requests, peak work season, etc.
  - Develop & follow a communications plan to pre-notify employees. Emphasize why the survey is being conducted and how the data will be used. Work with IT to ensure employees can access the survey.
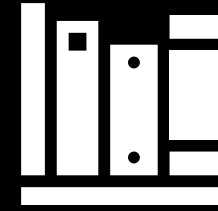
- **Topic 3 – Logistics**
  - Points of Contact
  - Costs estimate
  - Scheduling (physical location or virtual format, transportation)
  - Safety and Security (site access, nonmanager escort, etc.)
  - Cybersecurity (wifi access)
  - Dress code norms/PPE
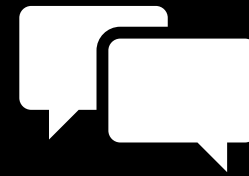
TOPICS (CONT)

- **Topic 4 – Document Requests**
  - Tracking documents requested
  - Translating terminology and document titles
  - Precautions and limitations (NDA, redaction, etc.)
  - Secure platform for sharing

- **Topic 5 – Interviews**
  - Sampling methods
  - Privacy and confidentiality
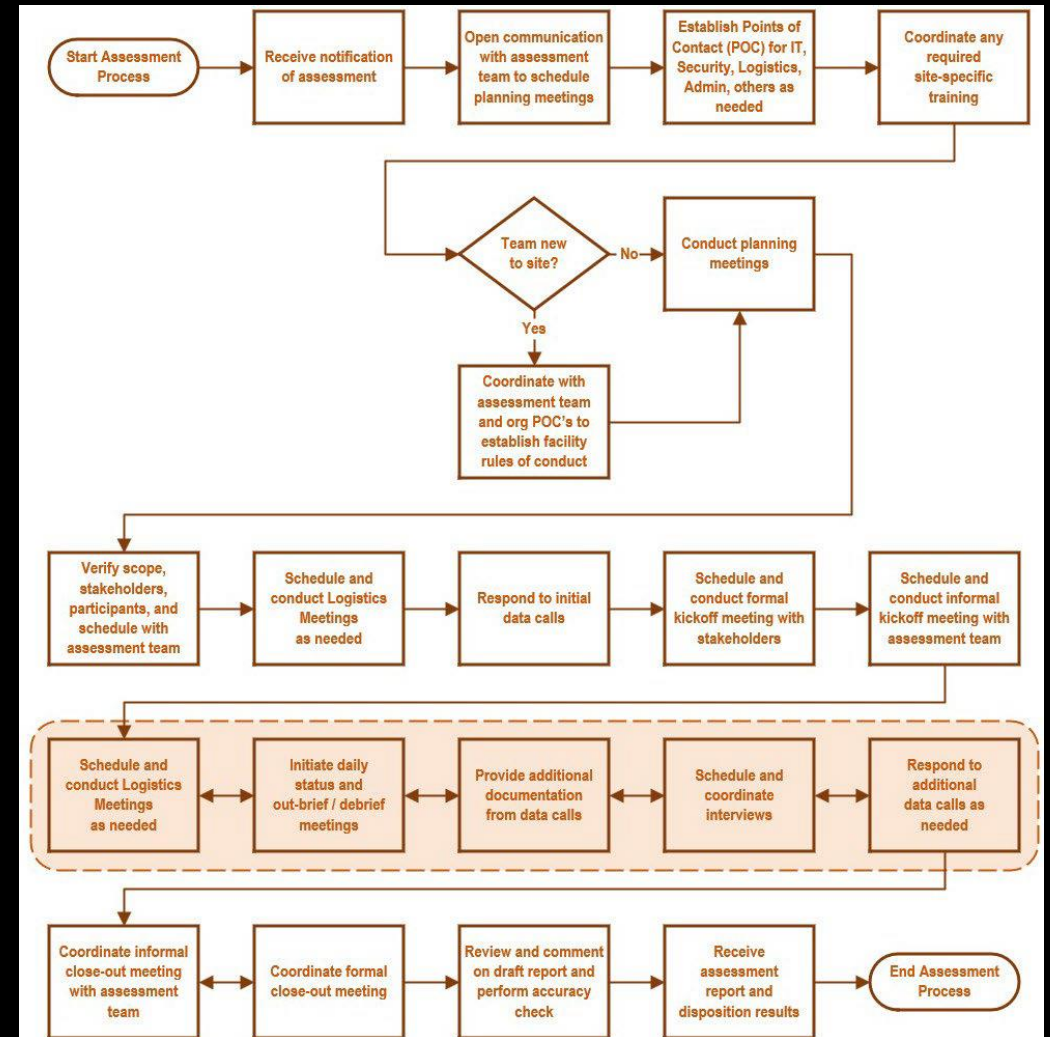
- **Topic 6 – Follow-Up and Close-Out**
  - Factual accuracy review
  - Dispositioning results

TOPICS (CONT)

Appendix A – Assessment Process Map

Appendix B – Logistics Templates

- Checklists for security, safety, communications
- Document request log examples, with translation

Table B-1. Assessment logistics checklist template

Action	POC	Y/N/NA
Have head count, demographics, and HRIS data been provided?		
Has an organization chart been provided?		
Have alternative shifts (e.g., night, swing, or backshifts) been accounted for in sampling and schedule planning?		
Have site maps been provided?		
Have SME and emergency contacts been provided?		
Have badges been provided?		
Are any assessors foreign nationals?		
Have any required trainings been provided and completed by external assessors and/or hosts and escorts?		
Have escorts been assigned and scheduled?		

Document Requests Tracking Template

Requested Document	Terminology Guide	Associated Documents	Folder Location/ Repository	Associated VPP/ISM/Safety Culture Concept	Status
(Example: issue management procedure)	_____ is called _____ here (Example: issues are called condition reports (CRs) and our issues management system is called DevonWay)	(List document numbers and titles here as they appear in the file name. Example: • 1234-XYZ-789 Rev2, *Condition Reporting*)	(Example: folder name/URL)	(Example: Questioning Attitude)	(Example: Pending review, delivered, requested)

TOPICS (CONT)

Appendix C – Safety Culture Concept Crosswalks

- Integrated Safety Management System
- Voluntary Protection Program
- Environmental Management System

Integrated Safety Management System Guiding Principles	Environmental Management System Elements	Voluntary Protection Program Elements	Safety Culture Focus Area and Associated Attribute	Safe Conduct of Research*
1. Line management responsibility		1. Management leadership	Focus area: Leadership Attribute 1: Demonstrated safety leadership	Principle 2: Leaders value the safety legacy they create in their discipline
			Focus area: Leadership Attribute 2: Risk-informed, conservative decision making	Principle 2: Leaders value the safety legacy they create in their discipline
			Focus area: Leadership Attribute 3: Management engagement and time in field	Principle 4: A healthy respect is maintained for what can go wrong Principle 7: Hazards are identified and evaluated for every task, every time
2. Clear roles and responsibilities		2. Employee involvement	Focus area: Leadership Attribute 6: Clear expectations and accountability	Principle 2: Leaders value the safety legacy they create in their discipline

References and Further Reading

- Criteria Review and Approach Documents, National Nuclear Security Administration. NNSA develops and uses these documents primarily when performing biennial reviews.
- DOE G 226.1-2A, *Federal Line Management Oversight of Department of Energy Nuclear Facilities*. Appendix D, "Activity Level Work Planning and Control Criterion Review and Approach Documents with Lines of Inquiry"
- DOE G 414.1-1C, *Management and Independent Assessments Guide*
- DOE P 450.4A, Chg. 1., *Integrated Safety Management Policy*
- DOE G 450.4-1C, *Integrated Safety Management System Guide*
- DOE-HDBK-3027-99, *Integrated Safety Management Systems (ISMS) Verification Team Leader's Handbook*. This handbook, developed to provide guidance to the ISMS verification team leader and the verification team, includes recommended actions and procedures to help develop the skills and understanding necessary for effective membership on a verification team.
- DOE-STD-1232-2019, Volume 1, "U.S. Department of Energy Voluntary Protection Program–Program Structure," (Volume 1 of 4)
- DOE-STD-1232-2019, Volume 2, "U.S. Department of Energy Voluntary Protection Program–Procedures" (Volume 2 of 4)
- DOE-STD-1232-2019, Volume 3, "U.S. Department of Energy Voluntary Protection Program–Application" (Volume 3 of 4)
- DOE-STD-1232-2019, Volume 4, U.S. Department of Energy Voluntary Protection Program–Onsite Review" (Volume 4 of 4)
- Protocol EA-30-00, Rev. 6, "Office of Environment, Safety and Health Assessments Protocol for Oversight Activities"

DOE Office of Enterprise Assessments and Office of Environment, Health, Safety & Security Functional Area Criteria & Review Approach Documents are used to evaluate how requirements are met or for cross-cutting functional areas (e.g., conduct of operations and lessons learned).

- DOE Office of Enterprise Assessments, Criteria Review and Approach Documents
- DOE Office of Enterprise Assessments, Criteria and Review Approach Document List
- DOE Office of Environment, Health, Safety & Security, Facility Representative Program, Criteria & Review Approach Documents
- DOE Office of Environment, Health, Safety & Security, Functional Area Criteria & Review Approach Documents
- EA CRAD 30-01, *Contractor Assurance System–Criteria and Review Approach Document*
- EA CRAD 30-08, *Safety Culture Assessment Criteria and Review Approach Document*

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