EFCOG Spring 2019
CAS Working Group
Independent and Self-Assessment Program Notes

INL/ORNL/SRS Presented Program Summaries

1. Independent Oversight Assessments
   - Risks drive topics
     - Senior Leaders identify risk areas
     - Annual Business Plans
     - PEMP notables
     - Events/Trends (Site Specific)
     - Monitoring DOE Events/Industry Events
     - Staffed by SMEs
     - Corporate Committees
       - Blesses topics/Risk areas
     - Cross cutting areas

   - Identified issues are tracked in an issues management system
   - Enterprise wide identified issues are a common challenge at INL & ORNL
   - Metrics are presented to lab leadership

2. Self-Assessments
   - More formal than Independent Oversight Assessment
   - Compliance driven in more cases than Independent Oversight
   - Management Assessments require plan/LOIs
   - Activity Based-less formal (Surveillance)
   - Line management/owner
     - Resource-tool in tool belt
   - Levels of significance for findings
   - Identified issues are tracked in an Issues Management System
   - Metrics are available to senior leadership
   - Issues
     - Lack of rigor by line management in some cases
     - INL-too many qualified lead assessors-100 of 400 qualified are actively performing assessments

3. Overall Best Practices
   - Assessments integrated into strategic plan
     - ORNL-a more formal integrated schedule tools drives integration
   - DOE partnering/teaming (INL/ORNL)
     - DOE transparency
   - ORNL-25% of Assessments from Lessons Learned/Industry Events
   - Graded training approach: QA Auditor verses Assessor
   - SRS-Grading of Assessments, Independent Oversight Assessment Criteria