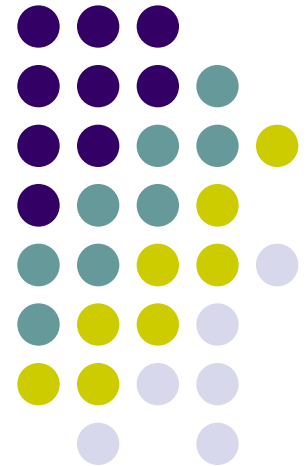


CAWG 2013 Annual Report (Updated from the December report to the EFCOG Board)



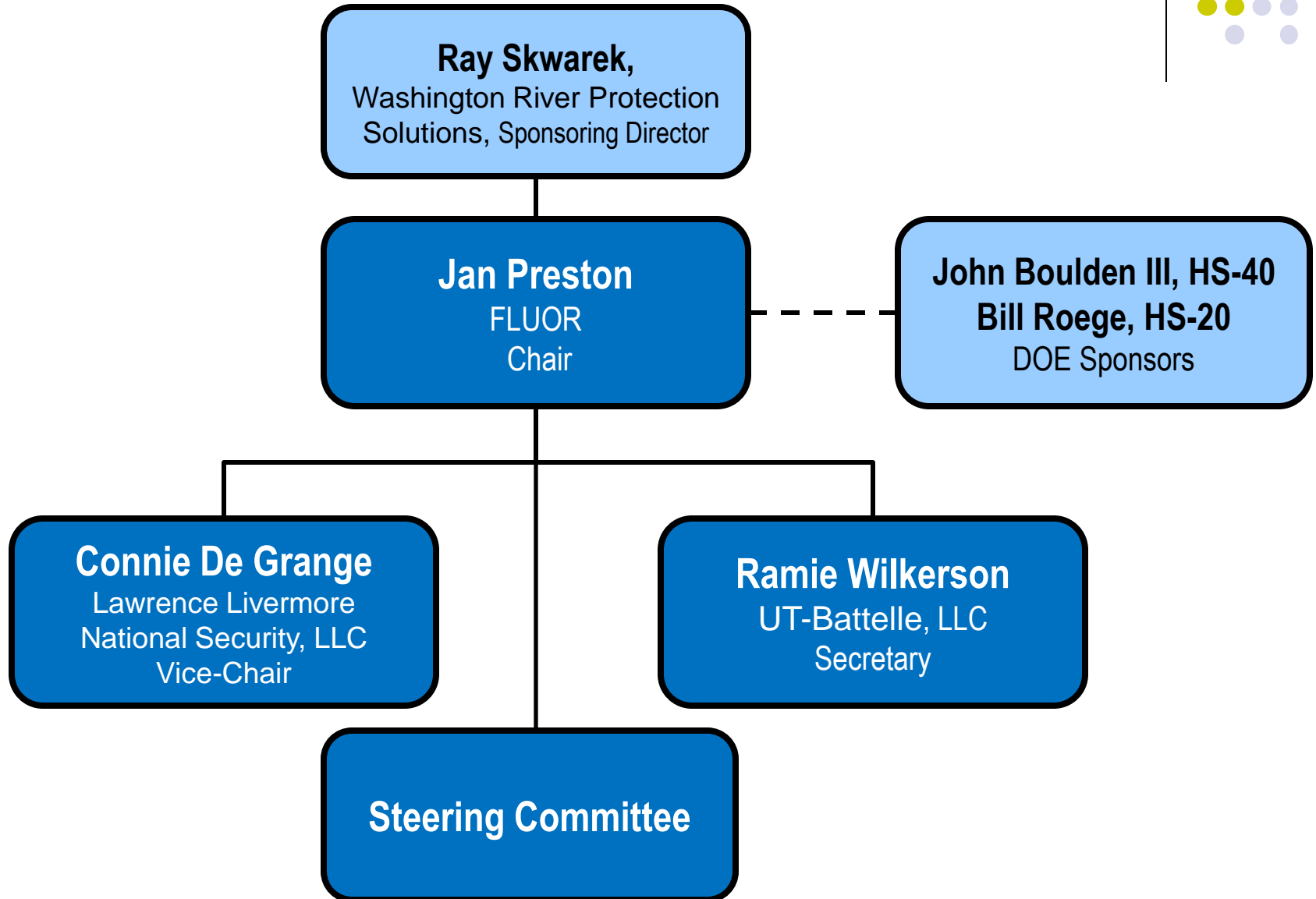
Connie De Grange
Lawrence Livermore National Security
Working Group Vice Chair
March 18, 2014



*“Achieving Mission and Sustaining Operational Excellence in a
Challenging Budget Environment”*

Contractor Assurance Working Group

January 2014



FY13 Key Achievements



CAWG meeting in early FY13 facilitated and promoted discussions:

- Sharing specific practices of risk management, independent oversight and peer reviews
- Causal Analysis by sharing how R&D organizations have incorporated these practices into their day-to-day operations to improve performance
- Key Performance Indicators referencing the EFCOG Guidance Document, “Development and Use of Leading Indicators” published in 2011; several sites shared how they are implementing processes, systems and tools, maturing their metric portfolios and the value gained through their use
- Effectiveness Reviews and sustainability of improvements; feedback from the working group provided a general consensus that due to increasing expectations this is an area for continuing improvement

FY13 Key Achievements



CAWG meeting in early FY13 facilitated and promoted discussions (continued):

- Change Management was discussed with a focus on how CAS effectiveness was heavily dependent on the behaviors that drive the most productive changes in an organization as well as the processes and best practices.
- The Y-12 Security Complex provided an overview of the security event that occurred in July 2012 and the lessons learned regarding their contractor assurance system during the event and the subsequent reviews

Teleconference in August 2013

- 22 participants expressed strong support and enthusiasm

CAWG meeting planned for November 2013

- Productive and informative agenda, 45 registered participants

FY14 Planned Achievements



Planned Achievement	Possible Mechanism
<p>An area of continued interest among the CAWG members is risk determination, risk management, risk-based assessments and risk-informed planning and decision-making. The CAWG will spend more time in FY2014 discussing this area in more detail and may suggest guidance for the complex</p>	Task Group
<p>Identifying the common key elements of contractor assurance across DOE program offices (specifically NNSA, EM and SC) and the best practices to implement these key elements</p>	Steering Committee
<p>Continue enhancement of DOE-requested contractor assurance training material</p>	Ad Hoc

FY14 Planned Achievements



Planned Achievement	Possible Mechanism
Evaluate and promulgate key elements of a corporate governance model	Task Group
Continue engagement with HSS and other work groups on topics of common interest: human performance improvement, metrics and leading indicators, causal analysis, and social media and networking	Steering Committee, Joint meetings
Integrate with the HSS Operating Experience Committee (lessons learned)	Steering Committee

FY14 Planned Achievements



Planned Achievement	Possible Mechanism
Continue to develop an approach to an integrated risk-based assessment schedule	Task Group
Consider new approaches to performance improvement	Task Group
Effectiveness Reviews and possibly updating the 2004 EFCOG guidance to reflect the increasing expectations in this area	Teaming with ISMS/QA WG

Best Practices Development Status and Plans for FY14



- The CAWG has considered best practices in the following areas:
 - Causal Analysis of issues reported in assessment reports
 - Risk-based prioritizing and scheduling of assessments
 - Verifying completion of corrective actions
- Target: 1