Benchmarking Results

Marnelle Sheriff

Performance Assurance

Mission Support Alliance

Participation Matrix

Benchmarking Participation by Region

Percent of Participation Methodology
- Regional DOE offices were identified using the CAWG roster
- If no apparent regional office, then city was grouped under Washington DC office
- Out of 13 regions identified, 8 regions (or 61.5%) participated in the benchmarking survey
- 15 individual responders (three from one organization)

MISSION SUPPORT ALLIANCE

Responder Information

Response by Job Title

- ■ Assurance Manager/Director
- ■ PAAA Compliance Officer
- ■ Quality Engineer
- ■ Senior Statistician

Fifteen individual responders

MISSION SUPPORT ALLIANCE
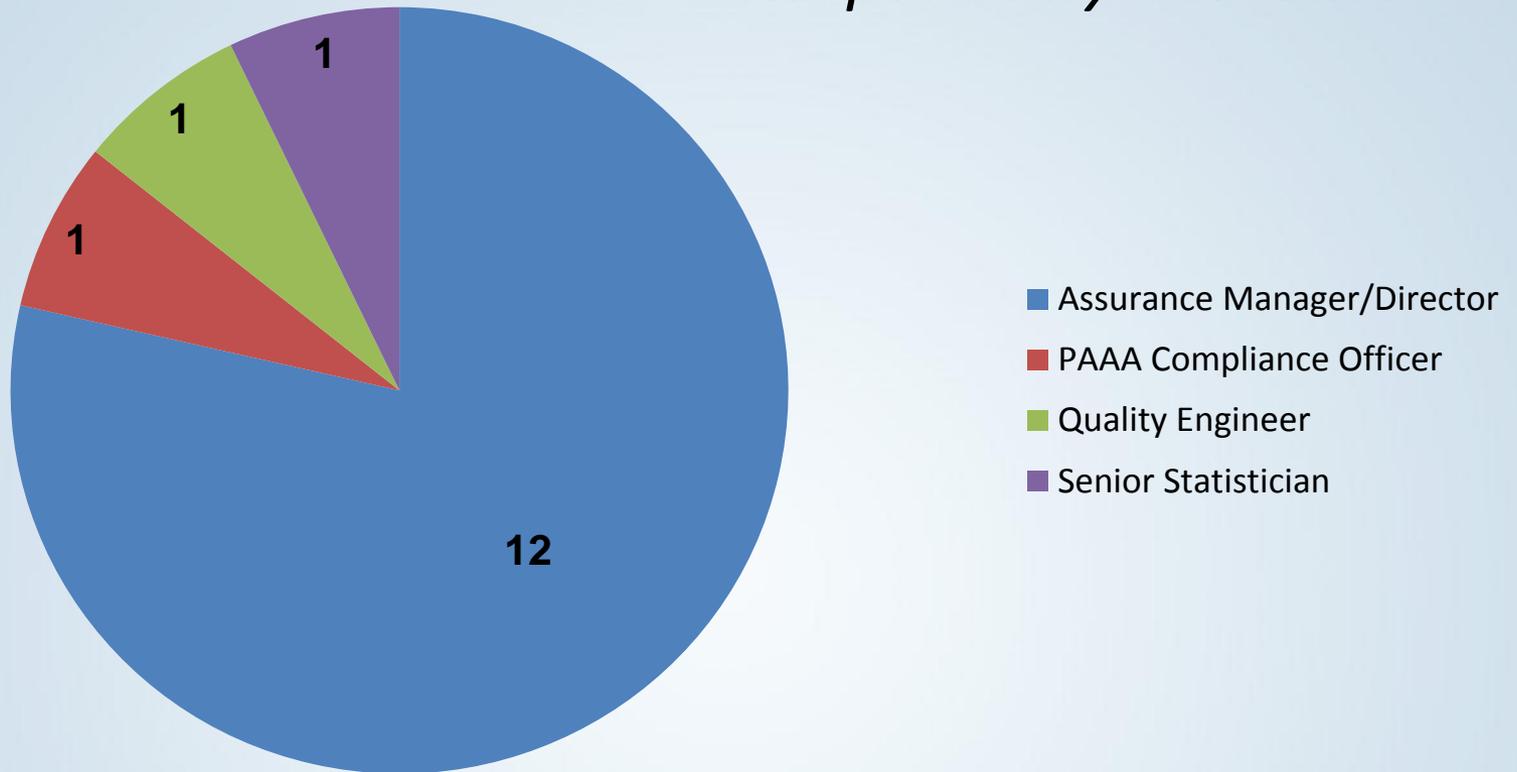
Responder Information

Years in Position

Fifteen individual responders

MISSION SUPPORT ALLIANCE
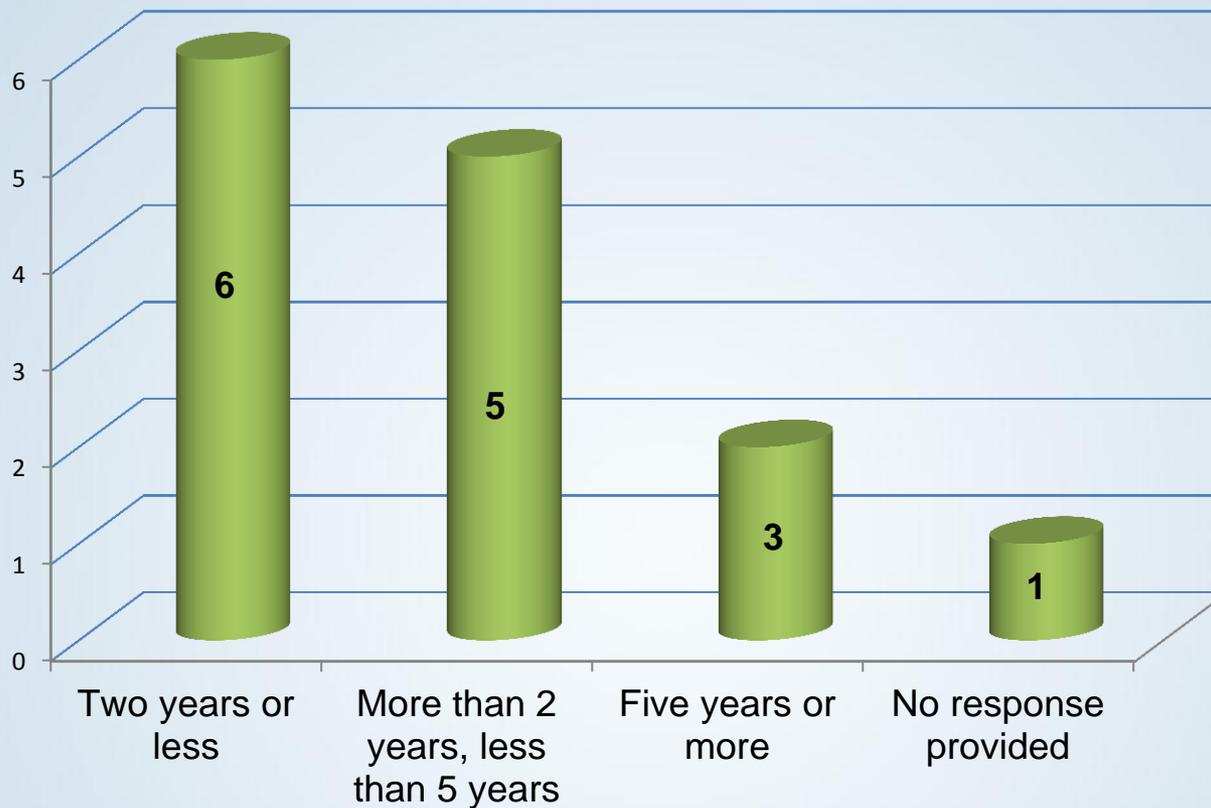
Responder Information

NNSA, Science, or EM?

Twelve responding organizations

MISSION SUPPORT ALLIANCE
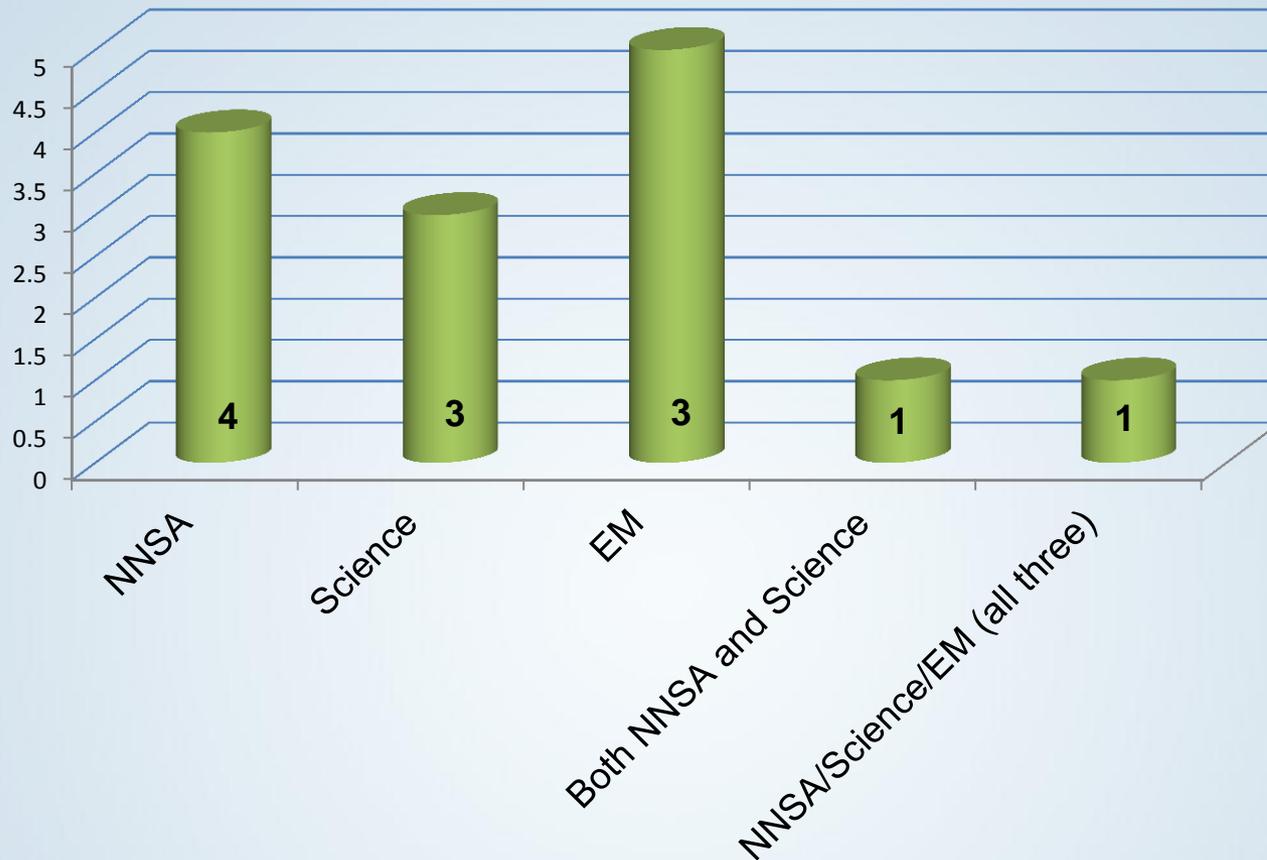
Responder Information

Estimated Number of Workers

Twelve responding organizations

MISSION SUPPORT ALLIANCE
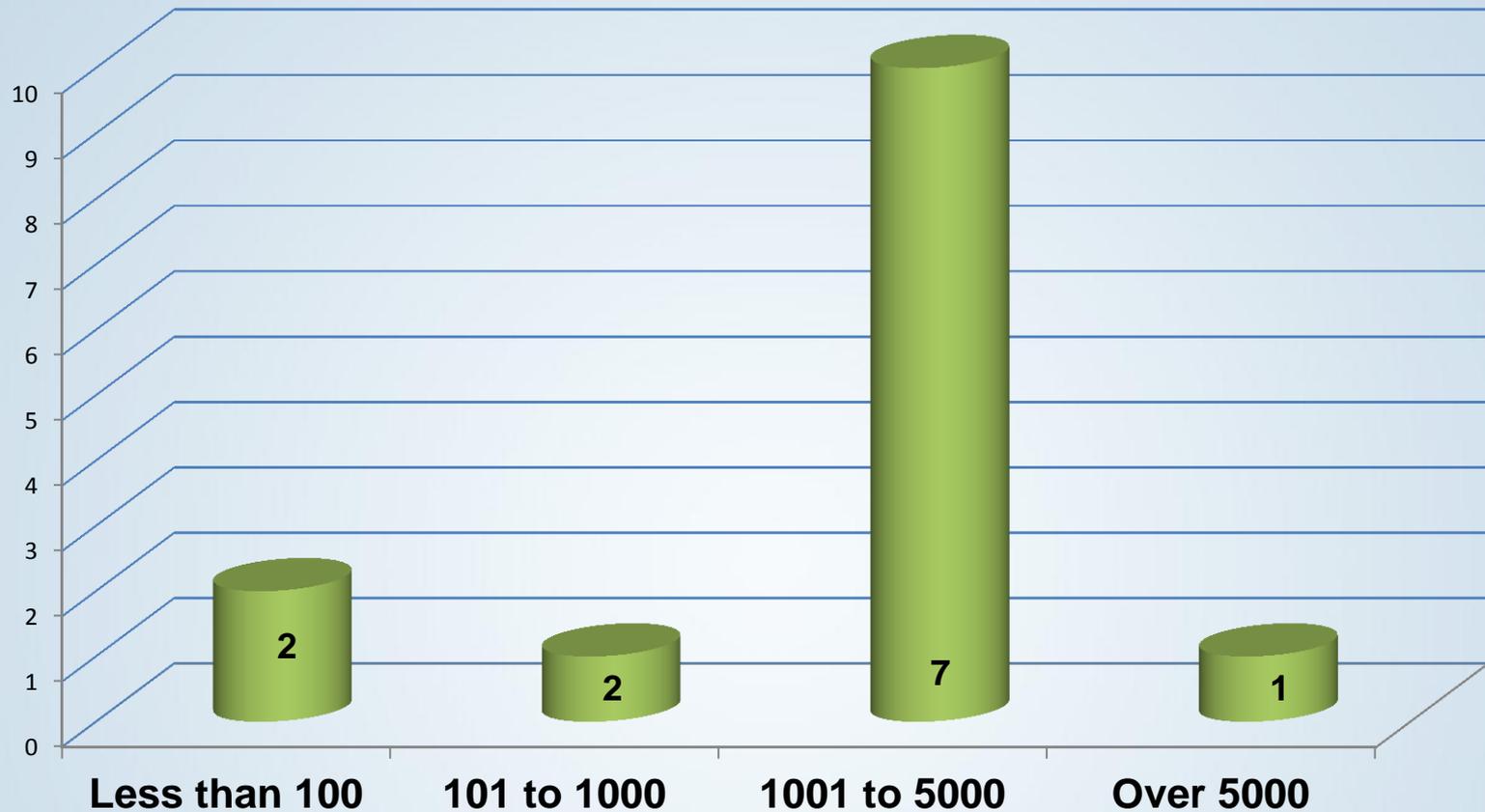
Survey Results

Organizational Information

Please describe/demonstrate the organizational structure that support your CAS

- Twelve responders described programs with contractor assurance-like structure/elements (ESH&Q, Performance Assurance, Issues Management, ISM, QMS, EMS, etc.)

- One responder described a Quality Policy Committee that meets quarterly, from which the CAS report is derived.

- One responder described in-process reorganization (still defining)

- One responder indicated that contractor-provided information is used, but the organization does not spend time monitoring CAS compliance.

MISSION SUPPORT ALLIANCE

Organizational Information

How many FTE (per month) are dedicated to maintaining/producing CAS information/data?

- Six responders indicated that there are ten or more FTEs

- Three responders indicated between five and nine FTEs

- Four responders indicated between 0.1 and 1.5 FTEs

- Two responders did not provide a definitive FTE count

   NOTE: Most responders found it difficult to quantify an exact figure, due to embedded field FTEs and FTEs providing CAS support services, for example. Numbers used reflect the minimum primary CAS FTE that could be identified from each narrative provided.

MISSION SUPPORT ALLIANCE

Organizational Information

How long has this organizational approach been in place?

- Seven responders indicated several years or as long as CAS has been required*

- Five responders indicated three years or less

- Two responders indicated that the system is in the process of being defined, due to reorganization efforts.

- One responder did not provide a response.

CAS (as currently known) was issued in 2005 and implemented in 2006 by DOE O 226.1, cancelling prior policy DOE P 450.5 Line Environment, Safety, and Health Oversight, dated 06/26/1997.

MISSION SUPPORT ALLIANCE

Procedures and Directives

Describe the procedure set that drives implementation of DOE O 226.1A (Assurance System)

- 11 responders described policy, plan, or procedures sets such as QA program description, assessment program, continuous improvement, subcontractor oversight, issues management or problem identification, lessons learned/operation experience, etc.)

- Two responders described contractor clauses which address development and implementation of CAS.

- One responder indicated that the INPO principles for good practice "Performance Analysis" were followed.

- One responder did not provide a response.

MISSION SUPPORT ALLIANCE

Procedures and Directives

Is the procedure set used company-wide or are there specific project elements?

- 13 responders indicated that the guidance was used company-wide, and additionally there were some project-specific elements noted in a few cases.

- One responder indicated that the guidance was project specific only.

- One responder did not provide a response to the question.

Procedures and Directives

Is there training that compliments the procedure set?

- 11 responders affirmatively indicated that training was conducted in concert with the guidance, in some form (i.e., classroom training, computer-based (CBT), required reading, etc.)

- Two responders indicated that training was in development.

- Two responders indicated that no training is provided.

Process/Meetings

Do you hold regular review and/or presentation meetings with:

	Yes	No, didn't know (or not addressed)	Comments
A. – Mid-level management	12 Responders	3 Responders	Monthly, bi-monthly, quarterly meetings or reviews were described.
B. – Senior Management	13 Responders	2 Responders	Weekly and monthly meetings and briefings were described.
C. – The DOE customer	13 Responders	2 Responders	Weekly and monthly meetings and briefings were described.

Do you track operational, functional, and strategic level indicators?

- 11 responders affirmatively indicated that some type of performance measures/indicators were collected.

- Two responders indicated performance indicators were in development.

- Two responders answered that indicators collected outside their organizations were used.

Are your indicators dynamic or static?

- Six responders indicated PI's are static or mostly static

- Three responders indicated PI's are dynamic

- Three responders indicated PI's are a mix of static and dynamic

- Two responders indicated that performance measures were in development.

- One responder did not provide a response to the question.

Performance Indicators/Measures

What leading indicators do you track?

- Twelve responders indicated leading indicators were tracked. Two responders stated indicators were in development. One responder did not respond to this question. Some of the specific indicators that are tracked include, but are not limited to:
  - Employee engagement
  - First aid cases
  - Overdue actions
  - Safety incidents below ORPS near miss threshold
  - Percent of supervisors meeting in-field time goal
  - Average age of issues
  - KPI emergency preparedness
  - Transportation accidents involving government vehicles
  - and many more

MISSION SUPPORT ALLIANCE

CAS Continuous Improvement

What is your single greatest success and biggest challenge with CAS Continuous Improvement?

Thirteen responders provided responses and one responder did not respond.

A few "biggest successes" mentioned:

- An Office of Science (SC) contractor -- contribution to "developing and shaping Office of Science CAS process, as well as leadership and success with peer review process."

- A SC contractor – "improving the integration of the CAS with the strategic planning process."

- An EM contractor – "Training, familiarization with purpose of CAS to organization members."

- An NNSA contractor – "the recent NNSA LOCAS Affirmation" [as described at ORNL CAWG)

- An EM contractor – "Senior manager shift in philosophy that generated a shift in focus from individual project successes to the success of the company as a whole."

CAS Continuous Improvement

What is your single greatest success and biggest challenge with CAS Continuous Improvement?

Successes (Continued)

- An NNSA contractor – "The establishment of the dashboards which provided Management and the Site Office with a valuable, readily available, transparent tool to monitor and act on the health of the company, its missions, its programs, its projects, and its functional areas."

- An SC contractor – "Establishing our QMS Challenge: Sustaining our level of excellence."

- An EM contractor – Two responses

  - (PAAA Officer) "Proving to the Office of Enforcement that contractor corrective actions on some programmatic issues were worthy of a Consent Order as opposed to a Notice of violation. "

  - (CAS Mgr) "CAS Continuous Improvement: Management Observation Program (MOP) / Worksite Visit Program (WSV) – The monthly rate of MOPs and WSVs performed continues to increase significantly, with the rate almost doubling since October 2010 (to 300 in March 2011)"

CAS Continuous Improvement

What is your single greatest success and biggest challenge with CAS Continuous Improvement?

A few "biggest challenges" mentioned:

- An SC contractor – "The biggest challenge in preparing for the peer review last year was to put the picture in place that ties [CAS] components together under the CAS umbrella and to communicate that story to management and staff."

- An SC contractor – "The biggest challenge is to convince line managers to use the CAS tools and to consider them as an investment of resources today with a future payout in the form of more efficient and effective operations."

- An NNSA contractor – "The biggest challenge continues to be how [to] analyze the multitudes of data that are obtained via the CAS, look for trends and react appropriately."

- An NNSA contractor – "Driving the cultural shift in issues management to correct the difficult foundation problems and prevent recurrence rather than addressing the symptoms on a recurring basis."

MISSION SUPPORT ALLIANCE

CAS Continuous Improvement

What is your single greatest success and biggest challenge with CAS Continuous Improvement?

Challenges (continued)

- An NNSA contractor– "Building CAS into contractor's integrated management system versus building on a separate system."

- An EM contractor – "Approximately 75% of our work is complete, yet some of the most challenging and difficult radiological work is ahead of us. The biggest challenge with regard to CAS Continuous Improvement is avoiding "closure fever" since we are a closure contract."

- An EM contractor – Three responders
  - (QA/Assessments Mgr) "…the corrective action program"
  - (PAAA Officer) "Convincing management of the importance of reporting self-identified issues."
  - (CAS Mgr) … "making lasting cultural changes that strengthen organizational ownership for the corrective action management program that focus on problem identification and effective problem resolution."

MISSION SUPPORT ALLIANCE

Benchmarking Results Observations/Conclusions

- Distribution of response perspective across the three main organizational functions, factoring in orgs with multi-functional aspects (such as NNSA/Science and NNSA/Science/EM).

	NNSA	EM	SCI
NNSA	4		
EM		3	
SCIENCE			3
NNSA /SCI	1		1
NNSA /SCI/ EM	1	1	1
Participation by Function	**6**	**4**	**5**

Viewpoints Represented by Major Functions

MISSION SUPPORT ALLIANCE
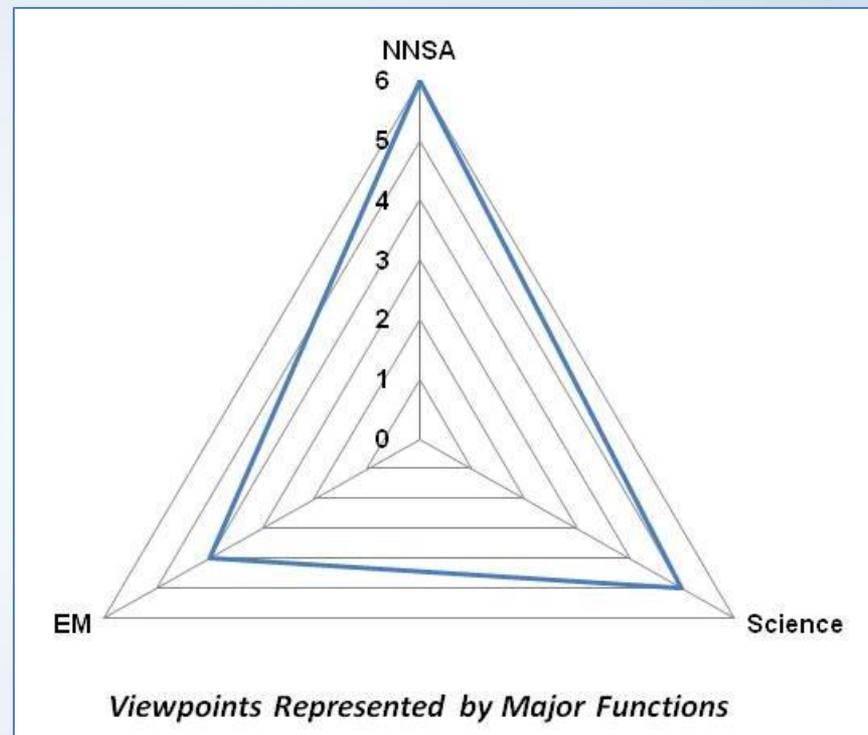
- Although 40% of responders had been in their current positions two years or less, over 85% of the responders indicated that their organizations were implementing DOE 226.1-like contractor assurance programs. The remainder were either in the process of defining their programs, following contract clauses, or operating as policy committees.

Benchmarking Results Observations/Conclusions

- Struggles – two primary themes identified were:

  – Getting management to embrace issues management

  – Making lasting changes that reflect effective problem resolution (as opposed to continuing to deal with recurring issues)

- Successes
  - Generally, although acceptance of issues management is ongoing, continuous improvement is measurable and organizations are making positive strides in terms of reducing the occurrence of certain past issues.

Questions?

- Questions/Comments

MISSION SUPPORT ALLIANCE