

# ASO CAS Communicator

March 8, 2011

Issue 1

## Dates & Activities

### March 2011

- Partnership Retreat - 3/24
- CAS Training/Meetings
- ASO Document Development
- ASO Issues Management

### April 2011

- Argonne CAS communication plan - 4/29
- Argonne ISM Day - 4/29

**ASO CAS Communicator** is a periodic newsletter for conveying CAS related information and assisting in training ASO personnel.

### Next Issue

- ASO Oversight Plan
- Issues Management



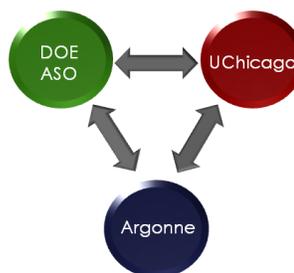
## What does CAS mean to you?

Within the next couple of weeks, ASO CAS leads will meet with the BMD, ESHD and IPPD separately to discuss the questions below as they relate specifically to the operations of each division.

These questions are taken from the CRAD that will be used during the CAS Peer Review. The goal is to help tie CAS concepts to tangible work elements that divisions are performing.

The Site Office section of the CRAD has several objectives that ASO will need to show how they are being accomplished. The first objective to consider is our communication with Argonne. Read

through the questions below and give some thought to: 1) what pathways exist, and 2) what ASO needs to establish to improve in these areas.



**CRAD Objective:** Timely and appropriate communication to the contractor regarding performance expectations and accountability.

1) *Are the ASO communication mechanisms regarding Argonne performance adequate?*

2) *What are the communication pathways between ASO and: 1) Lab Management; 2) Corporate Parent (UChicago/Argonne LLC)? Are they effective?*

3) *Are assurance processes "transparent" in that ASO has ready access to assurance information?*

Examples include any high level systems or sources of information: SharePoint, Intranet, PEMP, & required reports. Sources of information and data from Argonne processes may include: Project updates, WPC, WEA, iCatch, ESHI Mgt. Plan, etc.

**Task 1 - Divisions develop responses focusing on improvements.**

## CAS Training Corner

**Q. What is DOE O 226.1A and the "H Clause?"**

A. DOE Order 226.1A outlines the basis for ensuring that contractor assurance systems and DOE oversight programs are comprehensive and integrated for key aspects

of operations essential to mission success. While the Order is written for ES&H, S&S; cyber security; and emergency mgt, SC has taken the posture that CAS applies to all operations.

In January 2010, SC decided to require all M&O contracts

to include the H Clause with the purpose of re-invigorating Contractor Assurance at SC Labs. Incorporation of this language allowed the removal of DOE O 226.1A Contractor Requirements Document from the contract. See Page 2 for H Clause language.

# ASO Document Review and Development

ASO staff are feverishly working over the next couple of months to update ASO operating documents:

- **ASO Oversight Plan** - All divisions will be covered. Draft completed, under review. March 2011
- **ASO SOPs** - All SOPs reviewed/revised. Sept 2011
- **ASO Quality Assurance Plan** - Under revision. June 2011
- **ASO ISMS Description** - Revised by June 2011

- **ASO Contract Management Plan** - Revised by September 2011

In addition to this effort, ASO SMART databases are also being expanded and renewed:

- **ASO DOCLOG** is used to track the complete cycle of actions related to an action. Due dates should be used as a tracking mechanism that should be revised for each critical action.
- **ASO Oversight Activities** database is available for use

by all staff. Personnel should use this tool to record information from any type of oversight activity: meetings, walkthroughs, reviews, etc. Training will be provided at All Hands meetings.

- **ASO Issues Tracking** is used to manage issues that are significant or need management attention. Specific information will be available soon in a new SOP. March 2011

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## Clause H.42 - Contractor Assurance System

The section below is the actual "H Clause" text from the [Argonne Contract](#)

A. The Contractor shall develop a contractor assurance system that is executed by the Contractor's Board of Directors (or equivalent corporate oversight entity) and implemented throughout the Contractor's organization. This system provides reasonable assurance that the objectives of the contractor management systems are being accomplished and that the systems and controls will be effective and efficient. The contractor assurance system, at a minimum, shall include the following key attributes:

1. A comprehensive description of the assurance system with processes, key activities, and accountabilities clearly identified.
2. A method for verifying/ensuring effective assurance system processes. Third party audits, peer reviews, independent assessments, and external certification (such as VPP and ISO 9001 or ISO 14001) may be used.
3. Timely notification to the Contracting Officer of significant assurance system changes prior to the changes.
4. Rigorous, risk-based, credible self-assessments, and feedback and improvement activities, including utilization of nationally recognized experts, and other independent reviews to assess and improve the Contractor's work process and to carry out independent risk and vulnerability studies.
5. Identification and correction of negative performance/compliance trends before they become significant issues.
6. Integration of the assurance system with other management systems including Integrated Safety Management.
7. Metrics and targets to assess performance, including benchmarking of key functional areas with other DOE contractors, industry and research institutions. Assure development of metrics and targets that result in efficient and cost effective performance.
8. Continuous feedback and performance improvement.
9. An implementation plan (if needed) that considers and mitigates risks.
10. Timely and appropriate communication to the Contracting Officer, including electronic access, of assurance related information.

The initial contractor assurance system description shall be approved by the Contracting Officer.

B. The Government may revise its level and/or mix of oversight of this contract when the Contracting Officer determines that the assurance system is or is not operating effectively.