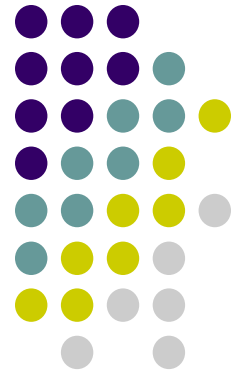
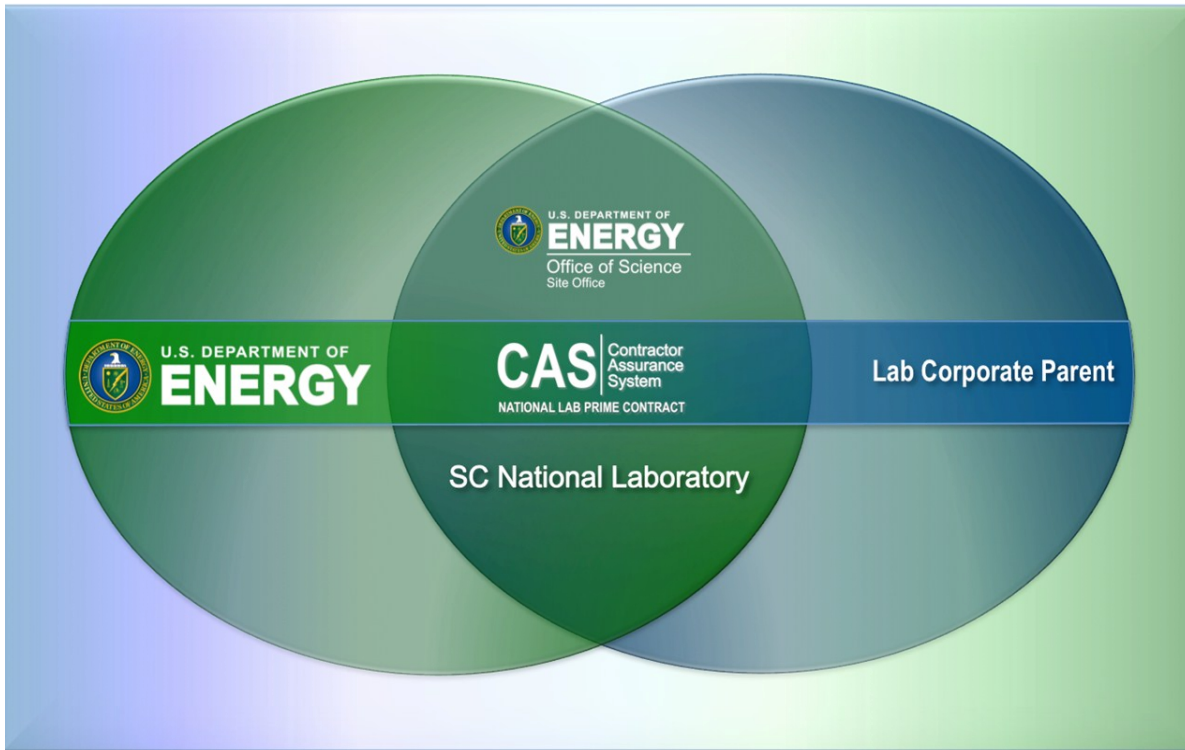


INSTRUCTOR'S GUIDE

(for use with)

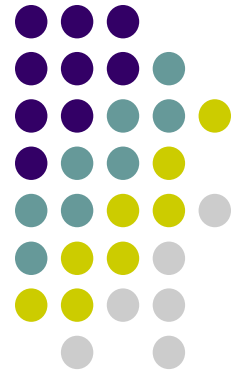
Office of Science (SC) Oversight Model Discussion Packet



Pre-Briefing

- **Schedule** 2-3 hour meeting with your staff.
- **Arrange** for room to be set up with internet connection on screen for access to SCMS and for flip charts, masking tape, and markers.
- **Start** the group thinking by sending an email a few days before the meeting with a link to SCMS CAS/Refresh webpage at: <https://scms.sc.doe.gov/Includes/CASRefresh.cfm>.
- **Recommend** that your site office staff read/review the Primer and the new SCMS CAS/Refresh web page and its linked documents.

Briefing



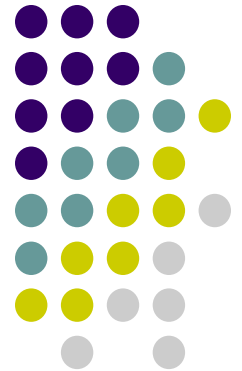
◇ Overview of Instruction:

⇒ *Major areas you should be sure to discuss.*

⇒ *Questions to ask to start discussions.*

⇒ *Important Lessons from Analogies/
Exercises.*

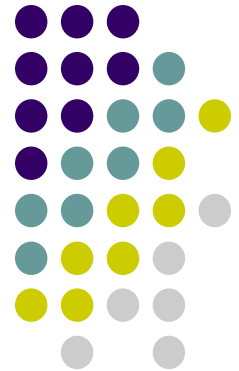
Briefing



◇ Major Areas to Discuss:

- ⇒ *Contractor Assurance Systems (CAS)*
- ⇒ *Office of Science (SC) Oversight Model*
- ⇒ *Changes to SCMS*
- ⇒ *Where SC is going*

Discussion Questions:



Q: What is CAS?

[Use flip chart pages as a visual aid to capture thoughts and ideas and tape pages to walls.]

A: *Contractor Assurance is a system designed and implemented by the contractor to manage performance consistent with contract requirements. It enables the corporate parent to assess performance, provides data to the contractor's management decision-making process, and allows the contractor to more effectively manage processes, resources and outcomes. The system provides clear communication of the mission needs and goals and enables DOE to determine the necessary level of Federal oversight.*

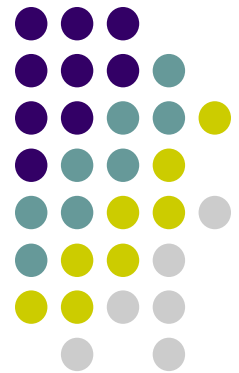
Discussion Questions: Oversight

Q: Who is responsible for SC line management oversight responsibility?

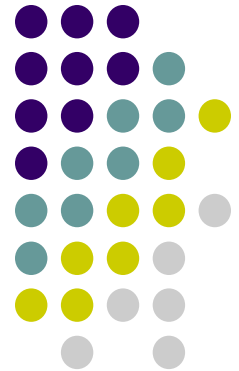
[This question should prompt discussion regarding the various SC organizations involved in oversight. You or employees may write organizations and/or names of Points of Contacts (POCs) on a flip chart as a visual aid.]

A: *The SC line management oversight responsibility originates from the S-1 and flows down through the S-4 to the SC-1 and then to the various SC organizational elements and their career Federal employees who monitor the day-to-day performance executed in accordance with ten Management and Operating (M&O) contracts and other prime/support contracts.*

[Answers may include a general overview of organizations or may drill down into specific POCs your site office utilizes.]



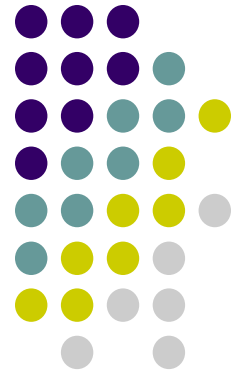
Discussion Questions: Oversight



Q: *How would you define the SC Oversight Model and its relationship to the Laboratories' CAS? [You or your employees may want to write terms on a flip chart as a visual aid and tape pages to walls.]*

A: *SC has established an Oversight Model which includes a set of procedures and processes which integrate our oversight with the Laboratories CAS and with the expectation that we in the DOE will behave in a manner to support and enable the Laboratories execution of the Science and DOE missions, while ensuring work is done safely and efficiently and protective of the worker, public, and environment.*

Discussion Questions: Oversight



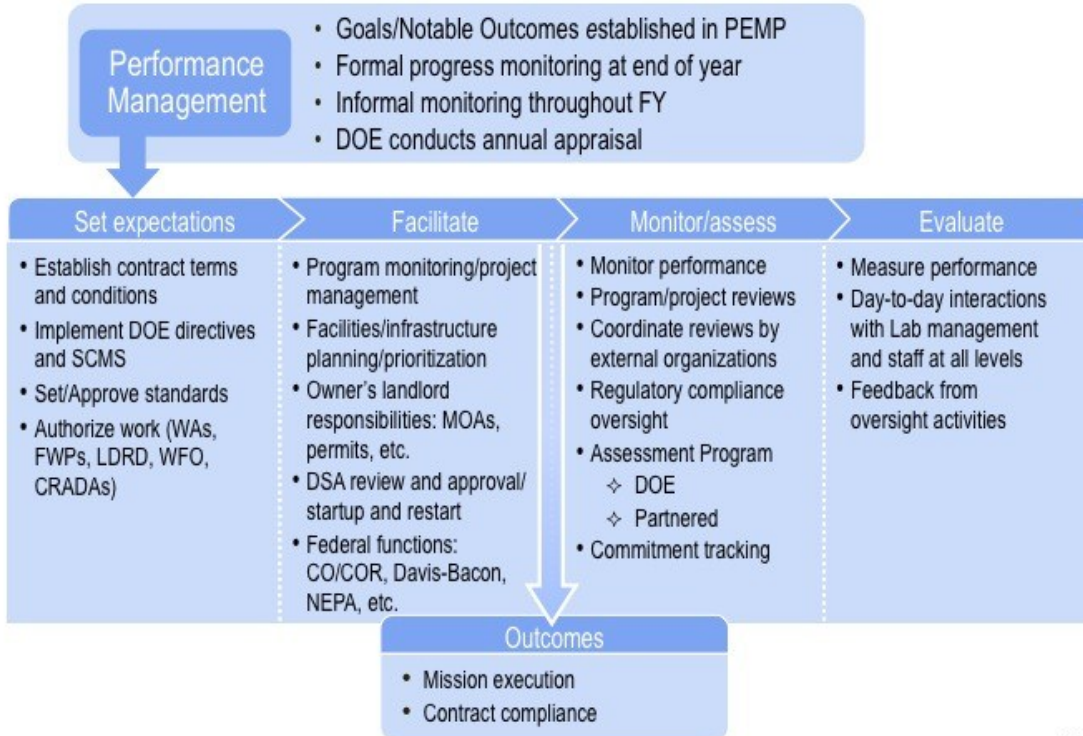
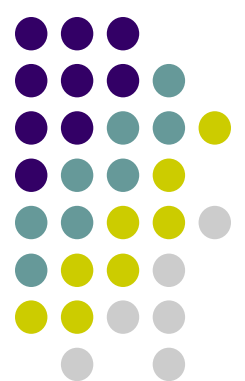
Q: *What tools does SC utilize to enhance its oversight effectiveness? [You or your employees may want to write terms on a flip chart as a visual aid and tape pages to walls.]*

A: *SC utilizes a number of tools to enhance its oversight effectiveness. (e.g., assessments, reviews, surveys, and/or audits). In addition to a tailored, formal assessment program, the Federal oversight activities build on the CAS and include, review of contractor management system documents and records, review of outputs from CAS, including peer reviews of operations, facilities, projects, programs and systems, and operational awareness activities, (e.g., surveillance, inspections, direct activity, observation [boots on the ground], and participation in contractor meetings). Many Site Offices consider all of these activities part of Contract Management, so understanding terminology is very important. Refer to the CAS Glossary for other examples.*

[Click on web link to CAS Glossary to assist staff in defining terms.]

(Live link for CAS Glossary will be added when published)

Science Site Office Oversight Approach
(Examples)



11/30/13

SCMS CAS Refresh

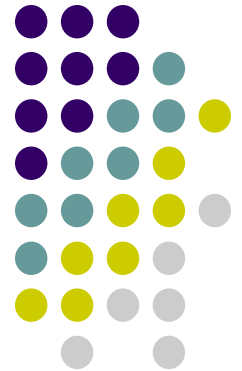
Q: *How did we do?*

A: *[Compare written lists with chart. Take a look at this illustration and go over each column.]*

Q: *How do you think these management areas are changing with the implementation of CAS?*

A: *[Discuss changes and messages from the DDFO (SC-3). Refer staff to Packet and/or SCMS/CAS Refresh web page to show memos.]*

Discussion Questions: SCMS



Q: *How do you see the Quality Assurance and Oversight (QUAL) Management System has changed?*

A: *[Click through the QUAL MS and its procedures to spur discussion. Ask individual(s) to write highlights on flip chart and tape to walls.]*

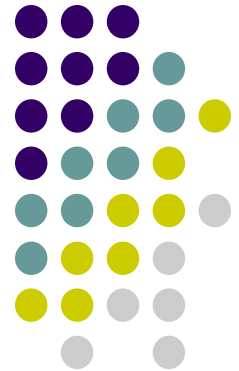
Q: *What changes did you see in the umbrella Management System on SCMS?*

A: *[Click through web pages to overview changes and ask individual(s) to write highlights on flip chart and tape to walls]*

Q: *What changes have been made to the M&O Contracting Management System ?*

A: *[Click through web pages to overview the changes; see if there are any questions or comments; discuss and list changes].*

Discussion Questions: Where SC is Going?



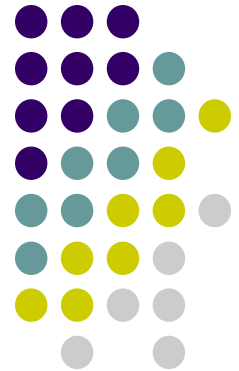
Q: *How can internal DOE communications help in avoiding conflicting direction/information messages being sent to the contractors?*

A: *[Refer to Packet and choose one analogy/exercise to do and discuss. Lessons learned will vary, but can include the importance of clear communication, understanding roles and responsibilities, providing effective oversight/contract management activities, and/or recognizing that CAS is not separate and is more than ESH oversight.]*

Q: *What approaches are being used or can be used for improving SC Oversight Model and processes?*

A: *[Ideas from staff; feedback; Refer to Packet and choose one analogy/exercise to do.]*

Post-Briefing



- **Objectives:** *[Highlight the list below and discuss with your staff their feedback on each]:*
 - *Understand the philosophy of refined SC Oversight Model.*
 - *Understand the revised Quality Assurance and Oversight Management System and procedures in SCMS.*
 - *Understand the importance of internal DOE communications to avoid conflicting direction/information messages being sent to the contractors.*
 - *Understand approaches for improving SC Oversight Model and processes, as well as areas where continued discussion is necessary for improved understanding and alignment.*
- **Staff Feedback:** *[Refer to Packet for list of questions for participants - either discuss openly or offer for employees to email answers after the meeting.]*
- **Closing:** *[To highlight] CAS principles and the accountability that they reinforce:*
 - *Make your federal job more complex requiring additional engagement with the contractor system and performance data*
 - *Provide opportunities to influence outcomes to improve the mission delivery.*