

Evaluating Site Office Line Oversight Programs

PURPOSE: This appendix describes the critical attributes of a Site Office line oversight process and provides the lines of inquiry that should be used to evaluate the implementation and effectiveness of a Site Office line oversight process.

Element 1 – Line Oversight Approach

Element Objective

A Site Office uses a systematic and effective approach to line oversight, including output from the CAS, to monitor and evaluate Contractor performance against mission and contract requirements.

Implementation Criteria

- The approach used to implement the elements described in the Site Office line oversight description document(s) are sufficiently defined that they can be executed in a repeatable and predictable manner and the approach is being used in the specified manner by Site Office personnel
- The Site Office line oversight process includes easy, transparent, and complete access to all CAS data and Contractor performance measures.
- The Site Office line oversight approach is integrated with other management and contractual evaluation processes and requirements.
- The Site Office line oversight approach includes oversight of all elements of contractor performance based on risk.
- The Site Office line oversight approach is flexible so that it can be adjusted based on risk and Contractor performance.

Implementation Lines of Inquiry

- Are Site Office line oversight roles and responsibilities defined in approved Site Office documents? How do you know?
- How is the Site Office line oversight process documented?
- Does the Site Office line oversight process include elements to plan and conduct assessments, document assessment results, identify and track issues including corrective actions, evaluate risk, and analyze results (including metrics and indicators) for performance trends? Are these processes well-deployed for functional oversight areas? How do you know?
- How does the Site Office use the line oversight process to monitor and evaluate Contractor performance? How are the outputs of the CAS used as part of the process to evaluate the Contractor's performance? How is Contractor performance feedback from Site Office line oversight provided to the Contractor on a periodic basis throughout the year?
- How is the line oversight process integrated with, and complementary to, other Site Office Contractor management and evaluation methods such as Performance Evaluation Plan, Contract Management Plan, and contract modification processes, etc.?

- How do you know an Integrated Site Office Assessment Plan is approved by the Site Office Manager and issued each year? How do you know the functional area/purpose and frequency of assessments specified? How do you know the Plan adjusted based on risk and performance?

Implementation Review Approach

- Review the NNSA guidance regarding expectations for the Nuclear Security Enterprise Integrated Assessment Planning Model, the Contractor Assurance System, and the Line Oversight System.
- Review Site Office Functions, Responsibilities, and Authorities Manual, line oversight procedures, assessment and management products.
- Interview Site Office managers, subject matter experts, and appropriate Contractor personnel.
- Observe performance of one or more line oversight activities.

Effectiveness Criteria

- The approach used to implement the Site Office line oversight process provides accurate, timely, and actionable information that can be used to improve performance or to manage risk.
- Significant CAS implementation gaps or degraded CAS contractor performance noted by the site office are documented and conveyed to the contractor
- Relevant site office line oversight information is transparently conveyed to NNSA elements to maintain NNSA-HQ line management situational awareness.

Effectiveness Lines of Inquiry

- Are assessments being planned and executed as expected? How do you know?
- Are there frequency, cycle time, or quality expectations that apply to assessment planning and execution? If so, how do you know how well the Site Office is performing against them?
- Are line oversight results regularly translated to information available to Site Office management? How do you know?
- Does the Site Office use assessment, measures, issues management, lessons learned, and improvement results to help determine Contractor performance and relay appropriate information to the Contractor? How do you know?
- Is relevant line oversight information transparently conveyed to NNSA elements? How do you know?

Effectiveness Review Approach

- Review Site Office assessment planning, performance, and reporting records.
- Interview Site Office personnel.

Element 2 – Line Oversight Process

Element Objective

A Site Office employs a risk-informed, performance based process to focus oversight activities on processes, systems, and operations vital to ensuring the NNSA mission is executed in a manner that is safe, secure, legally and ethically sound, and fiscally responsible.

Implementation Criteria

- The process used to implement the elements described in the Site Office line oversight description

document(s) includes a description of how to grade line oversight based upon risk and Contractor performance.

- Site Office employees understand how line oversight is graded based on risk and Contractor performance and are implementing the oversight process on that basis.
- Site Office line oversight is focused on high-risk processes, systems, and operations and/or areas where contractor CAS performance does not meet site office expectations.
- Site Office solicits input from NNSA functional area and line managers when developing the annual Integrated Site Office Assessment Plan
- The process is being used in the specified manner by the Site Office.

Implementation Lines of Inquiry

- Is the Site Office using a documented risk-informed process to determine what assessment activities will be conducted each year? Does this process ensure oversight of the Contractor's activities which have the potential to compromise the ability of the Site to execute its mission and areas where CAS performance is not fully effective? Does the process have a logical flow and enable consistent results for planning oversight activities? How do you know?
- Is the Site Office using information/results from the following as part of its risk-informed decision-making process when identifying line oversight activities: line oversight assessments; operational awareness activities (e.g., feedback from facility representative tours), third party reviews (e.g., DOE Office of Health, Safety and Security evaluations); performance metrics; outputs from the CAS process and elements; available personnel resources; and importance of the functional area to mission execution. How do you know?
- Does the Site Office solicit input from NNSA functional area and line managers when developing the annual Integrated Site Office Assessment Plan? How do you know?
- Is the Site Office periodically providing the result/conclusion of line oversight activities to appropriate functional and line managers in NNSA? How do you know?

Implementation Review Approach

- Review Site Office line oversight procedures, assessment, and management products.
- Interview managers and staff at the Site Office and NNSA functional area managers.
- Observe Site Office line oversight activities

Effectiveness Criteria

- The process used to implement the Site Office line oversight process assures that functional areas/processes are evaluated in context with the risk to mission, demonstrated contractor CAS performance, and with input from NNSA functional area managers.
- Site Office line oversight is continually reviewed and adjusted as necessary based on risk and Contractor performance.
- The Site mission is successfully executed in a manner that is safe, secure, legally and ethically sound, and fiscally responsible.

Effectiveness Lines of Inquiry

- Are line oversight activities consistent with the conclusions of risk-informed decision-making and agreements with NNSA functional area/line managers? How do you know?

Effectiveness Review Approach

- Review Site Office assessment planning, performance, and reporting records.

- Interview Site Office managers and assessment personnel.

Element 3 – Oversight of CAS

Element Objective

A systematic approach is used to monitor and evaluate the implementation and effectiveness of the Contractor's assurance system.

Implementation Criteria

- The process used to monitor and evaluate the implementation and effectiveness of the Contractor's assurance system is included in the line oversight processes and is sufficiently defined that it can be executed in a repeatable and predictable manner.
- The Site Office has easy, transparent, and complete access to all CAS data and Contractor performance measures.
- The Site Office oversight process includes an evaluation of the use of CAS information by the Contractor, the corrective actions identified and implemented, and the effectiveness of the corrective actions in improving contractor performance.
- The site office provides documented feedback to the Contractor regarding CAS performance noting performance strengths and weaknesses and opportunities for improvement.
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Implementation Lines of Inquiry

- How is the line oversight process monitoring the implementation and effectiveness of the CAS including the aspects of mission performance, operational efficiencies, and management effectiveness to drive improvements?
- Does the LO approach include a systematic method to evaluate the fidelity and transparency of CAS data and information? Is fidelity and transparency evaluated through comparison with independent assessment results e.g., line oversight activities, third party reviews and other assessments? How do you know?
- How is the feedback regarding the CAS transmitted to the Contractor when the line oversight process identifies opportunities for improvement?
- How is the Site Office line oversight process for monitoring and evaluating implementation of the CAS documented?

Implementation Review Approach

- Review Site Office line oversight procedures, assessment, and performance feedback reports to the contractor.
- Interview Site Office management and assessment personnel.

Effectiveness Criteria

- The Site Office process for monitoring the implementation and effectiveness of the CAS results in

improved performance of the CAS.

- The Site Office process for monitoring the implementation and effectiveness of the CAS results in changes to the Site Office line oversight process that seeks to confirm improvements in CAS performance.

Effectiveness Lines of Inquiry

- Is the feedback from the Site Office regarding the CAS relevant to improving the Contractor's performance? How do you know?
- How does the Site Office process for monitoring the implementation and effectiveness of the CAS result in changes to the Site Office line oversight process?

Effectiveness Review Approach

- Review Site Office line oversight reporting records.
- Interview Site Office and Contractor management and assessment personnel.

Element 4 – Line Oversight Self-Assessment

Element Objective

A systematic approach is used to monitor, evaluate, and drive improvements in the implementation and effectiveness of Site Office Line Oversight system to ensure long-term sustainability.

Implementation Criteria

- A self-assessment process to evaluate implementation of the line oversight process is sufficiently defined that it can be executed in a repeatable and predictable manner.
- The self-assessment process for line oversight is documented and maintained.
- The Site Office process evaluates the results of line oversight self-assessments, utilizes performance measures, identifies performance weaknesses/trends, and tracks the implementation of improvements.
- The self-assessment process includes external, independent assessments to complement and/or confirm site office awareness of performance from its self-assessment activities.

Implementation Lines of Inquiry

- Does the Site Office process for performing self-assessments include a systematic method for evaluating the line oversight process? How do you know?
- Is the self-assessment process for line oversight documented in an approved procedure? How do you know?
- Does the Site Office self-assessment process include elements to plan, resource and conduct assessments, document assessment results, identify and track issues including corrective actions, and analyze results for performance trends? How do you know?
- Are performance metrics used by site office managers to determine the site office performance level and to take action to address performance weaknesses/trends? How do you know?

- How does the self-assessment processes include external, independent assessments to complement and/or confirm site office awareness of self-assessment performance?

Implementation Review Approach

- Review appropriate Site Office procedures, assessments, and management products.
- Interview appropriate Site Office management and personnel that develop, review, approve, and execute the self-assessment processes.

Effectiveness Criteria

- Site Office self-assessment activities result in sustained, continuously improving line oversight performance.

Effectiveness Lines of Inquiry

- Do Site office self-assessments of the line oversight process provide conclusions regarding adequacy? How do you know?
- Are self-assessment results meaningful for sustaining the resources to maintain and improve the line oversight performance? How do you know?

Effectiveness Review Approach

- Review appropriate Site Office assessment procedures, staffing analyses, performance assessments, and management products.
- Interview Site Office management and personnel with self-assessment responsibilities.