

**PROGRAM STATUS
IMPLEMENTATION OF DOE OVERSIGHT POLICY
DOE ORDER 226.1A**

March 20, 2008

DOE LINE MANAGEMENT REQUIREMENTS DOE Order 226.1A, Attachment 2	STATUS
DOE line management must periodically examine contractor programs and their implementation; review contractor assurance systems; evaluate contractor performance in accordance with their contract; and establish and implement oversight processes for monitoring their internal operations.	<ul style="list-style-type: none"> • TJSO completed review and approval of the JSA Contractor Assurance Program in November 2007 • Multiple reviews of JLab's programs have been completed in the last two years. Examples include: Accelerator Controls Enclave; Material Handling & Hoisting & Rigging; Integrated Safety Management System; Fire Protection Program Review. • Contractor performance is managed in accordance with the TJSO contract management Plan and Performance Evaluation Process.
Set expectations and communicate them to contractors.	<ul style="list-style-type: none"> • Expectations are established and communicated to the contractor through the contract, PEP process, and by formal and informal communications.
Perform onsite operational awareness and assessment activities.	<ul style="list-style-type: none"> • Onsite operational awareness activities are conducted through formal assessments, as well as periodic facility/program walkdowns.
Establish processes for communicating line oversight results and other issues up the DOE line management chain.	<ul style="list-style-type: none"> • Quarterly meeting with SC-3. • Quarterly Safety Report to SC. • Biweekly calls with SC. • Monthly video conferences with SC-1.
The oversight program must provide balance between reviews of documentation and adequacy of implementation through performance test and observation of work.	<ul style="list-style-type: none"> • Assessments include both program documentation reviews, as well as facility walkdowns and work observations.
Oversight must provide balance between evaluation of systems, programs, facilities, and the implementation of individual elements of those systems.	<ul style="list-style-type: none"> • Assessment plans include review of program documents, walkthroughs of facilities, and observation of work activities to evaluate individual elements of programs.
Coordinate assessment activities with site assurance system activities while maintaining adequate baseline oversight programs.	<ul style="list-style-type: none"> • Site Office personnel participate in JSA surveillances, investigations, and other assurance activities.

Maintain coordination between Hq and Field line management assurance activities as well as establish frequency and depth of assessments based on past effectiveness of assurance systems	<ul style="list-style-type: none"> • TJSO SOPP-4.5, Appendix B, provides an example of planned assessments within the Office of Science Integrated Assessment Schedule. • TJSO Annual Performance Plan also includes the Annual Integrated Assessment Schedule.
Use objective criteria to determine the effectiveness of contractor assurance systems.	<ul style="list-style-type: none"> • Review of the Contractor Assurance Program and system was performed using a formal assessment plan.
Establish documented program plans to describe oversight activities and develop an annual schedule of planned assessments and focus areas.	<ul style="list-style-type: none"> • Contractor oversight is defined by TJSO SOPP-4.5, Rev 2, <i>Operational Awareness Program Plan</i>, March 12, 2005
Evaluate performance against requirements and performance objectives including laws, regulations, national standards, DOE directives, DOE approved plans and documents, and contract performance objectives.	<ul style="list-style-type: none"> • Assessments are conducted using formal review plans based on applicable laws, regulations, and standards.

ADDITIONAL RESOURCES

- DOE Policy 226.1A, *Department of Energy Oversight Policy*
- DOE Order 226.1A, *Implementation of Department of Energy Oversight Policy*
- DOE Guide 226.1-1, *Safeguards and Security Oversight and Assessments Implementation Guide*

KEY DOCUMENTS

- TJSO SOPP-1.1, *Contract Management Plan*, June 2006
- TJSO SOPP-4.1, *FY 2008 Annual Performance Plan*, September 4, 2007
- TJSO SOPP-4.5, Rev 1, *Operational Awareness Program*, November 7, 2007
- TJSO SOPP-4.3a, Rev 2, *Self-Assessment Program*, January 10, 2008
- TJSO SOPP-4.10, *Functions, Responsibilities, and Authorities Manual*, April 10, 2008

TJSO ASSESSMENTS

- *Effectiveness of Feedback and Improvement Processes (Commitment 25)*, January 27, 2006
- *Effectiveness of Work Planning and Work Control (Commitment 23)*, February 6, 2006
- *ISMS Self Assessment*, April 11, 2007

AREAS OF CONCERN

- Need to train TJSO staff on the latest revision to TJSO SOPP-4.5, Rev 2.

CONTRACTOR ASSESSMENTS/OVERSIGHT

- Examples of contractor oversight activities include:
 - *Environmental Management System Assessment*, September 2006
 - *Oxygen Deficient Hazards/Confined Space*, April 16, 2007
 - *NFPA 70E Compliance*, June 18, 2007
 - *Contractor Assurance System Review*, October 16, 2007
 - *Hoisting and Rigging Review*, January 28, 2008
 - *Fire Protection Program Review*, March 22, 2008

PATH FORWARD

- Review requirements of DOE Order 226.1A and integrate into the Annual Assessment Schedule.

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